THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Participant Guide
January 2017

Knowledge Area 6:

Records Management Program Development

Welcome

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

RECORDS MANAGEMENT TRAINING PROGRAM

[This page intentionally left blank.]

Table of Contents

Administrative Items Welcome-1
Administrative Items Welcome-2
Cancellation and Attendance Policies Welcome-3
Getting to Know You Welcome-4

Course Outline Welcome-7
NARA’s Certificate of Federal Records Management Training Welcome-8
Course Objectives Welcome-9
Course Agenda Welcome-11
Course Materials Welcome-12

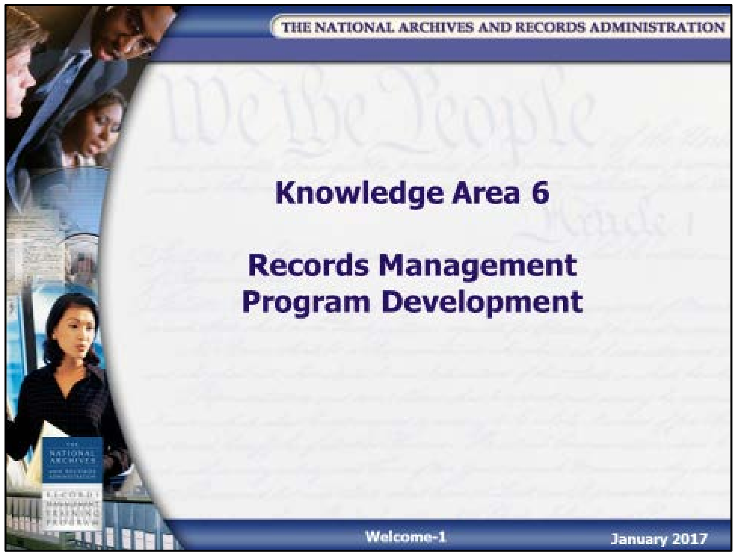
Applying What You Learned Welcome-13
Action Items Worksheets Welcome-14

Why Are We Here? Welcome-15

[This page intentionally left blank.]

Administrative Items

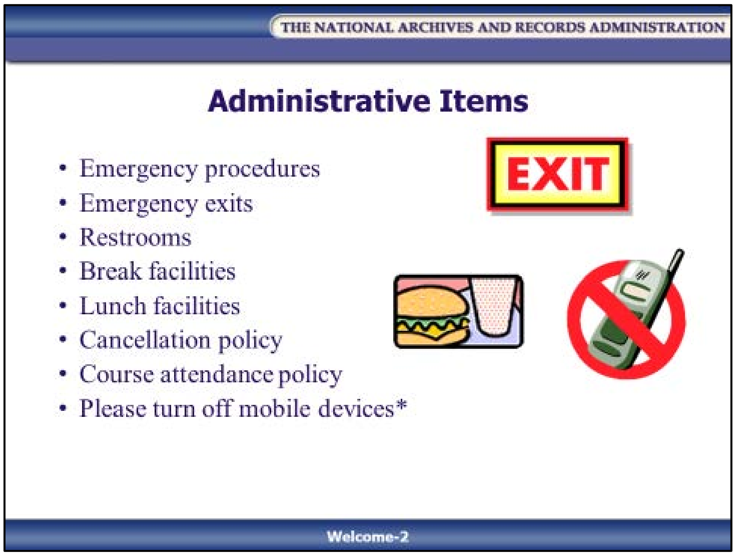
Slide Welcome-1



NOTES

Administrative Items

Slide Welcome-2



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

*Mobile devices include, but are not limited to, portable computers, laptops or notebooks, netbooks, tablet computers, electronic readers, PDAs, smartphones, BlackBerrys and MP3 players.

NOTES

Cancellation and Attendance Policies

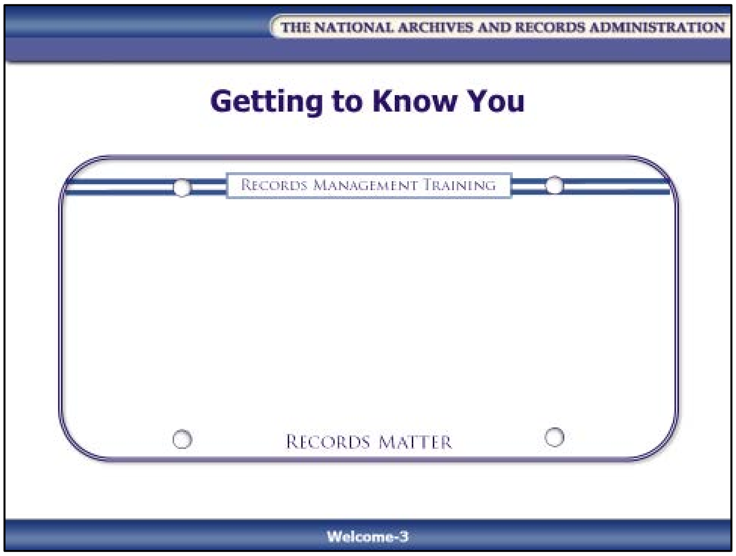
NARA reserves the right to postpone or cancel a course at any time. We will make every effort to contact registrants by email and telephone if that occurs. Courses WILL BE CANCELLED if the Office of Personnel Management (OPM) announces a "closed," "unscheduled leave," "liberal leave," or "delay arrival" policy for Federal employees for that day or if there has been an elevation to threat level RED in the Homeland Security status. Official government closure and leave policy is located on the OPM website at *http://www.opm.gov*.

Attendance Policy for NARA Courses – Course completion requires that you attend all course sessions. Instructors may deny a course completion certificate for unexcused absences which may require retaking the course for additional fees.

NOTES

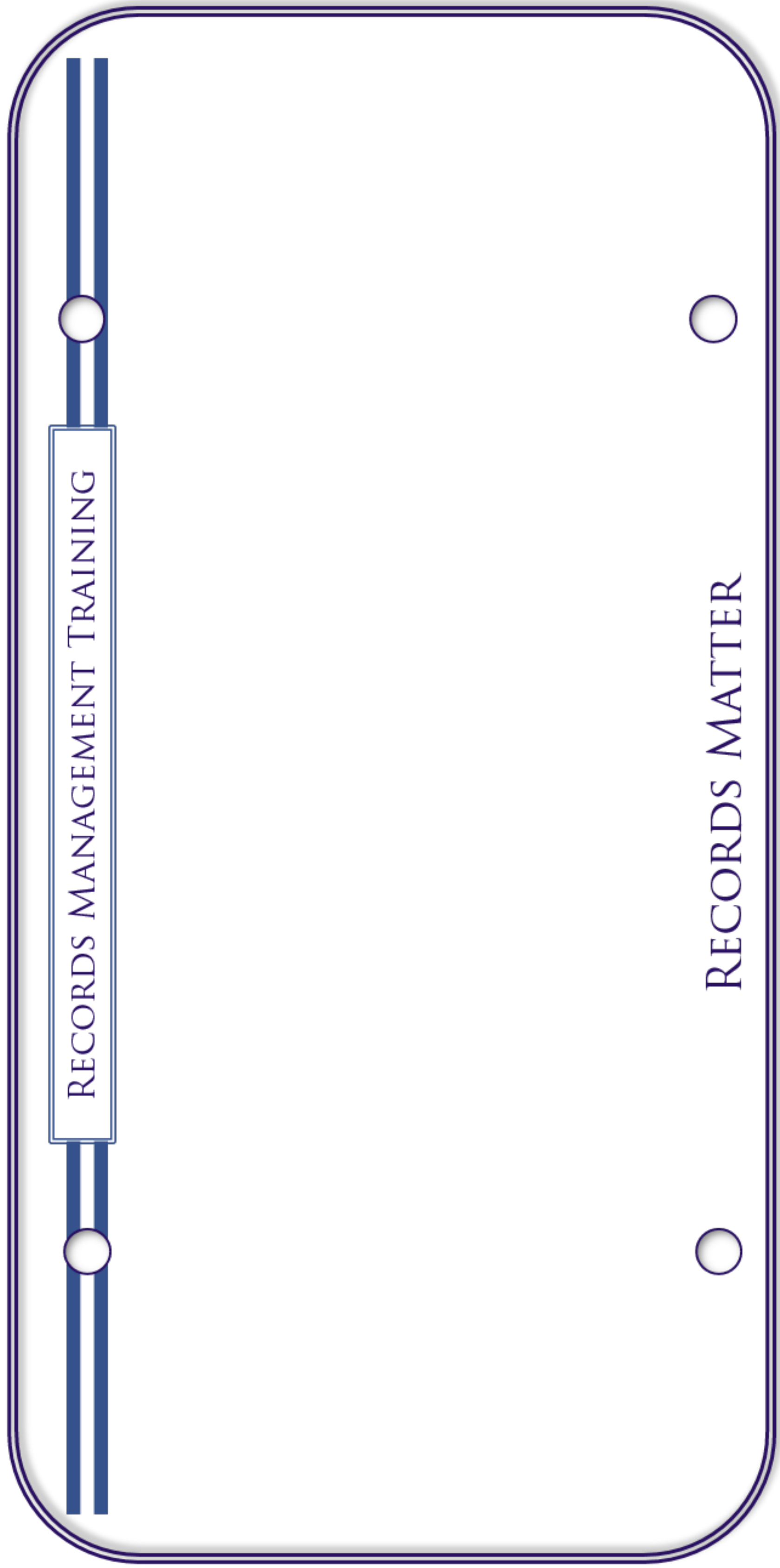
Getting to Know You

Slide Welcome-3



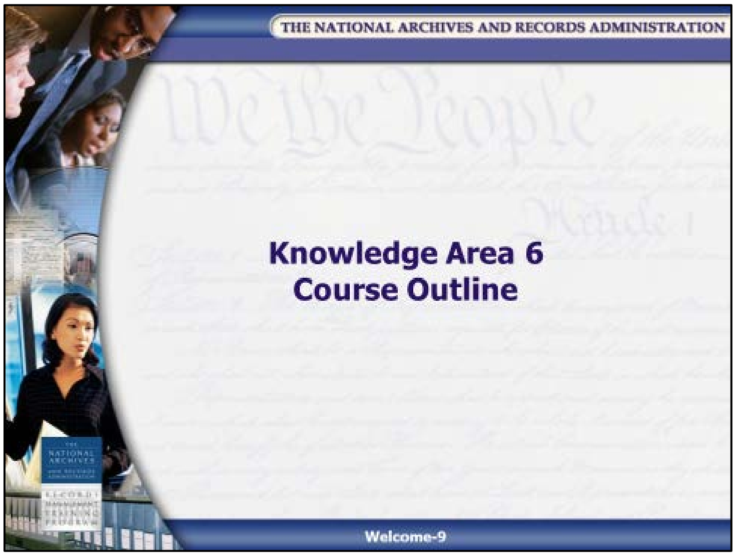
Use the template on the next page to create a personalized license plate that tells the group something about you. Remember, real license plates are usually limited to 8 or 9 characters.

NOTES


Records Management Training
Records Matter

Course Outline

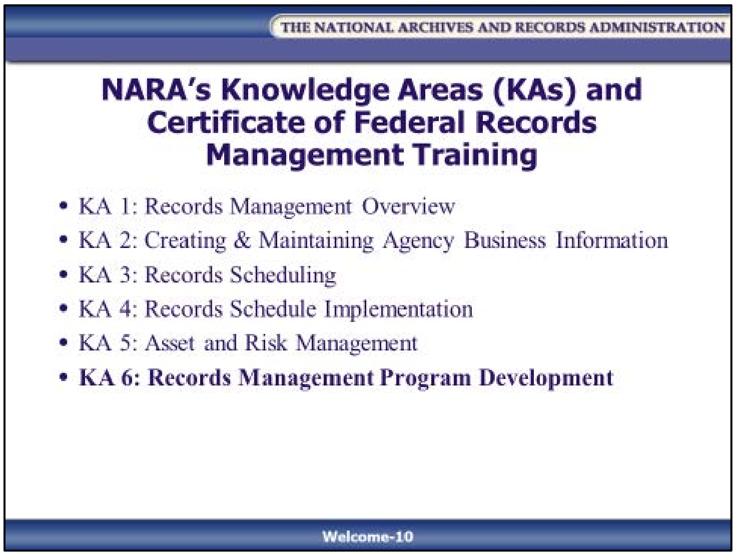
Slide Welcome-9



NOTES

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

Slide Welcome-10



With the constant changes occurring in information technology and Federal recordkeeping, NARA is pursuing ways to ensure that records professionals have the knowledge and skills to do their jobs effectively. NARA offers a certificate program for individuals who successfully complete NARA's training in Federal records management. **Knowledge Area 6: Records Management Program Development** is one of the five Knowledge Areas (KA 2 to KA 6) in NARA's Federal records management training certificate program.

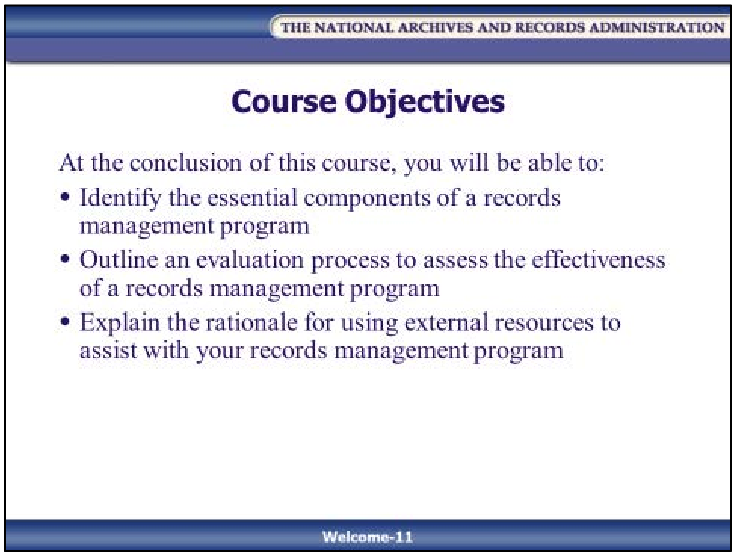
After completing KA 6, you may elect to take an examination on the course material to demonstrate both understanding and the ability to apply the information presented. The test is conducted online via NARA's Learning Center at http://nara.csod.com.

For more information about the records management courses offered by NARA, see http://www.archives.gov/records-mgmt/training.

NOTES

Course Objectives

Slide Welcome-11

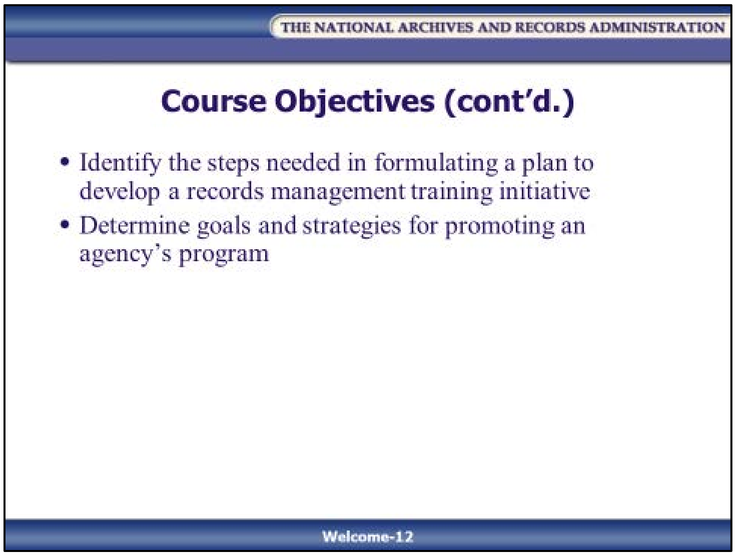


At the conclusion of this course, you will be able to:

- Identify the essential components of a records management program
- Outline an evaluation process to assess the effectiveness of a records management program
- Explain the rationale for using external resources to assist with your records management program

NOTES

Slide Welcome-12

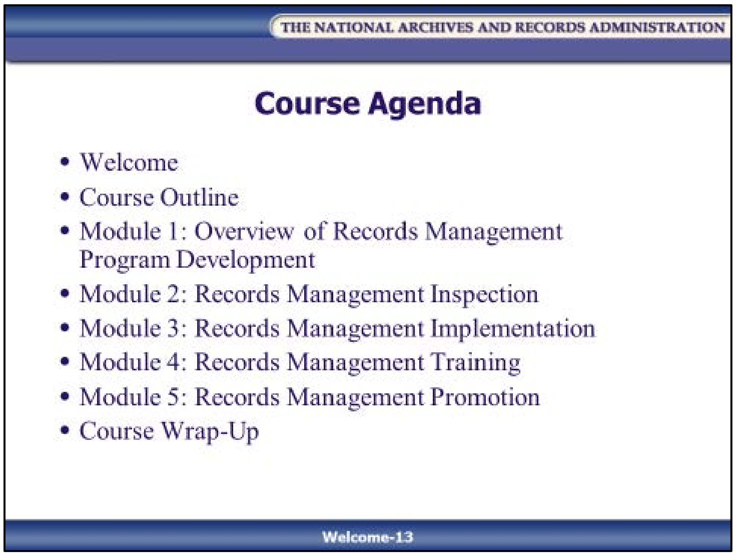


- Identify the steps needed in formulating a plan to develop a records management training initiative
- Determine goals and strategies for promoting an agency's program

NOTES

Course Agenda

Slide Welcome-13

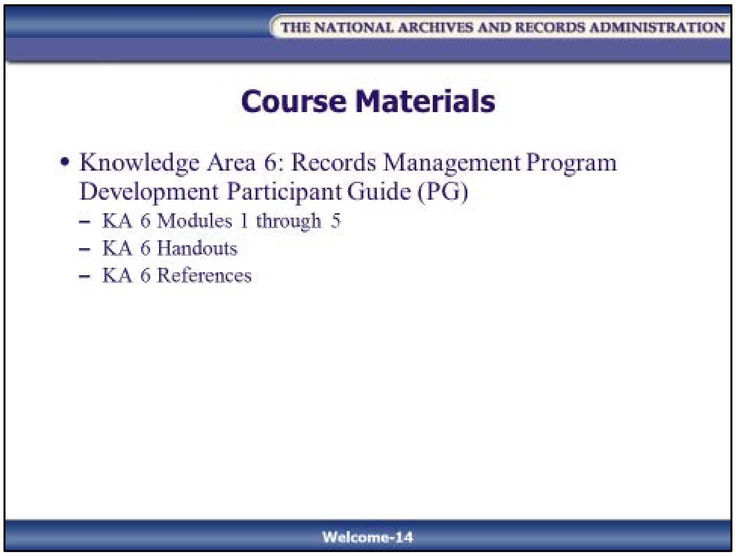


- Welcome
- Course Outline
- Module 1: Overview of Records Management Program Development
- Module 2: Records Management Inspection
- Module 3: Records Management Implementation
- Module 4: Records Management Training
- Module 5: Records Management Promotion
- Course Wrap-Up

NOTES

Course Materials

Slide Welcome-14

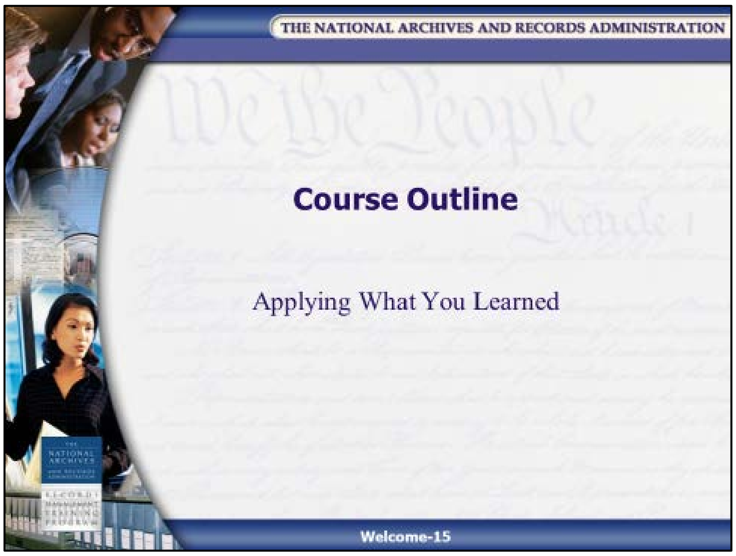


- Knowledge Area 6: Records Management Program Development Participant Guide (PG)
  - KA 6 Modules 1 through 5
  - KA 6 Handouts
  - KA 6 References

NOTES

Applying What You Learned

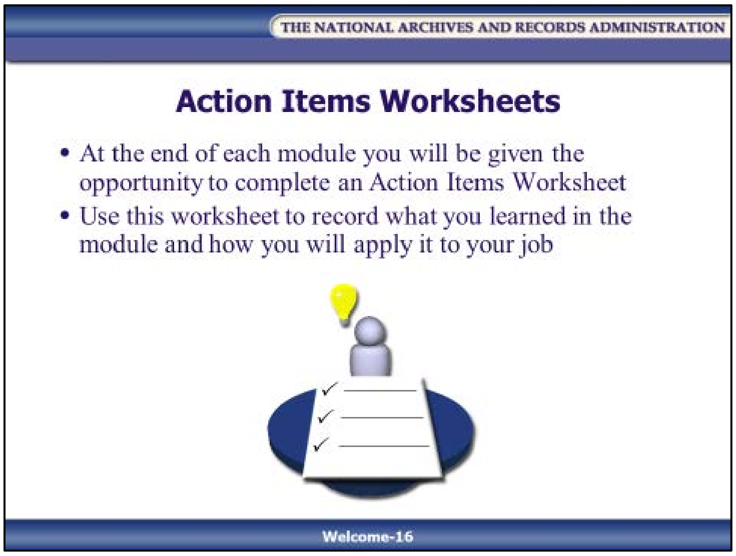
Slide Welcome-15



NOTES

Action Items Worksheets

Slide Welcome-16



Training is useful only if you can apply it to your everyday responsibilities. It is important that you use the information and concepts you learn in this course to create a plan of action for when you return to your office.

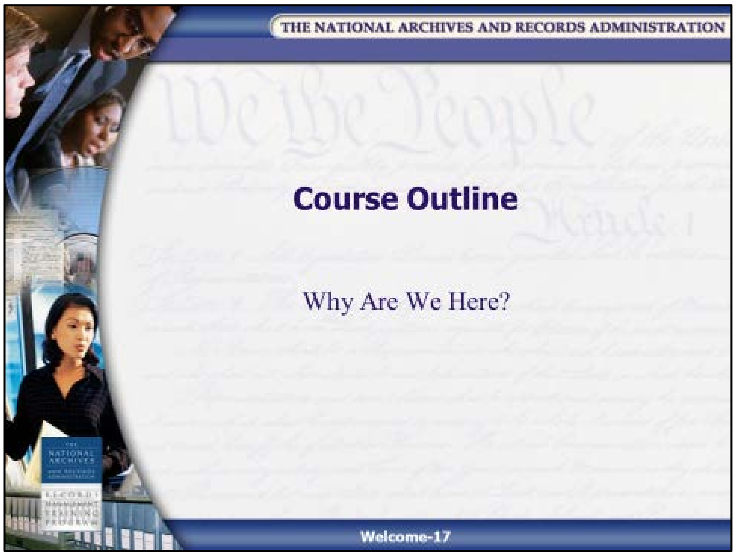
To facilitate development of your plan, you will be given a few minutes at the end of each module to complete the Action Items Worksheet in which you can reflect upon what you learned in the module and how you will apply it to your job. The worksheets will also give you a venue for recording any “aha!” moments you may have had during the module, including moments you so often forget upon leaving the training environment and returning to your office.

During this time, you will also be given the opportunity to voluntarily share items from your Action Items Worksheet with the rest of the class.

NOTES

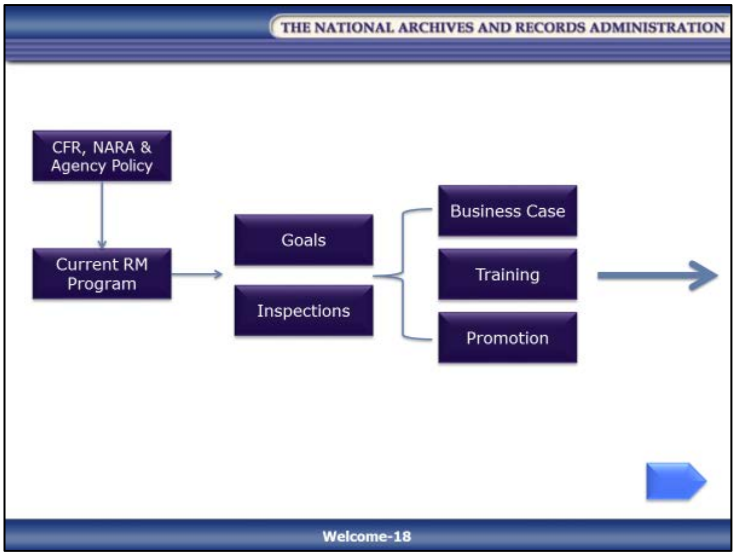
Why Are We Here?

Slide Welcome-17



NOTES

Slide Welcome-18



Throughout the Knowledge Area courses, we examine the regulations, concepts, and practices that help us build good records and information management programs. In this course, we look at how the Federal requirements fit together in an effective, comprehensive records management program.

Effective records management (RM) programs use inspections to determine how well the program is functioning. The information we gather helps us to identify any gaps and potential issues to address. We'll talk in this course about ways to set effective goals that can guide the work of the program as it grows.

Finally, we'll look at three key tools good RM programs use as they grow and improve. We'll look at the most common elements of a business case so we can argue for support for our programs. We'll talk about the need for records management training to build the skills and support needed to manage records effectively. We'll also look at methods for promoting better awareness of our programs.

NOTES

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Participant Guide
January 2017

Knowledge Area 6

Module 1: Overview of Records Management Program Development

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

RECORDS MANAGEMENT TRAINING PROGRAM

[This page intentionally left blank.]

Table of Contents

Introduction and Objectives .... PG 1-1
Introduction .... PG 1-1
Objectives .... PG 1-2

Lesson 1: Program Elements .... PG 1-3
What is Records Management? .... PG 1-4
Key Program Requirements .... PG 1-5
What is a Records Management Program? .... PG 1-8
Program Components .... PG 1-9
Records Management Program .... PG 1-9
Benefits of Proper Records Management .... PG 1-11
Potential Problems Resulting from Ineffective Records Management .... PG 1-12
Scenario: Learn About the Denver Bureau of Public Recreation (BPR) Office .... PG 1-13
Lesson Summary .... PG 1-14

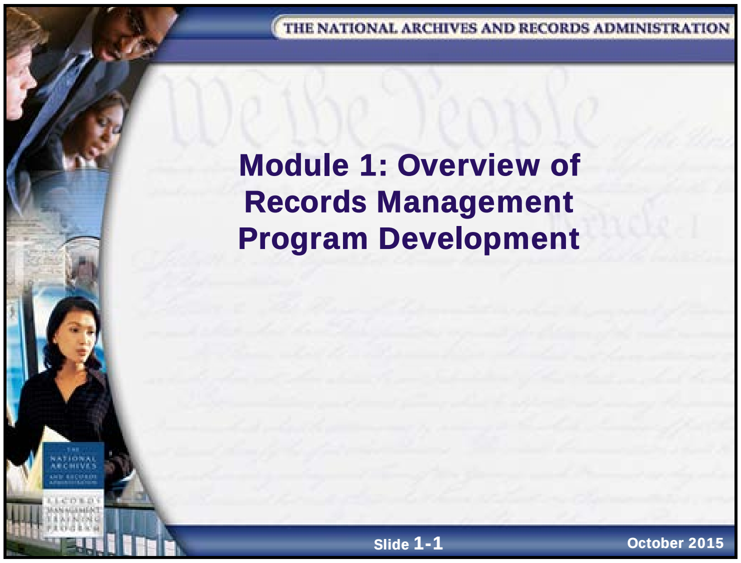
Lesson 2: Getting Your Program Started .... PG 1-15
Begin Formalizing Your Program .... PG 1-16
Why Are Goals Important? .... PG 1-17
What is the Difference Between a Goal and a Task? .... PG 1-18
Goals: Make Them SMART .... PG 1-19
Goals Based on ISO 15489-1 .... PG 1-20
Activity: Making Goals SMART .... PG 1-21
Making Goals SMART Worksheet .... PG 1-23
Lesson Summary .... PG 1-25

Module 1 Review and Wrap-Up .... PG 1-27
Overview .... PG 1-27
Activity: Writing Your SMART Goals .... PG 1-28
Writing Your SMART Goals Worksheet .... PG 1-29
Review Activity: KA 6 Next Steps Worksheet .... PG 1-31
Module Review .... PG 1-32

[This page intentionally left blank.]

Introduction and Objectives

Slide 1-1



Introduction

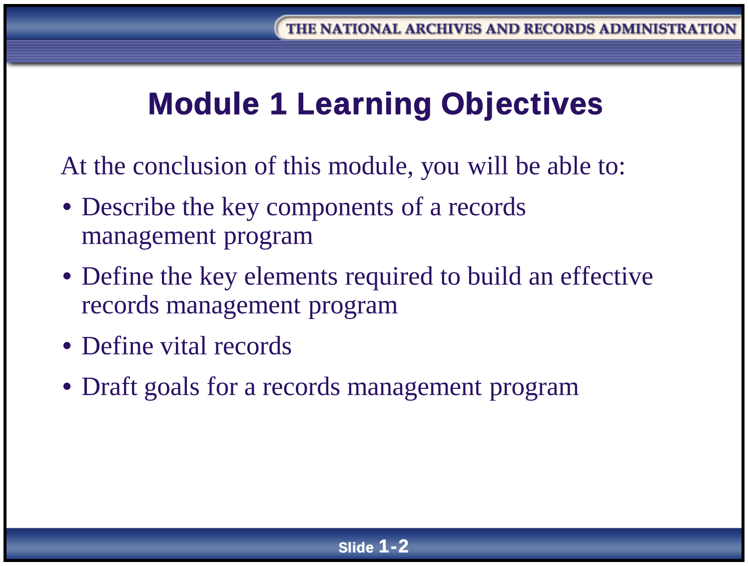
In this module we encourage you to view records management as a program rather than just a collection of different processes and requirements. The information and activities within this module will help lay the foundation for your agency's records management program.

Module 1 provides an overview of the basic components of an effective records management program. The module invites you to identify the current situations in your agency and then contrast those current situations with the desired situation (based on the key elements required to build an effective records management program). The difference between the current and desired situations – the "gap" – will then be addressed in the remaining KA 6 modules.

NOTES

Objectives

Slide 1-2



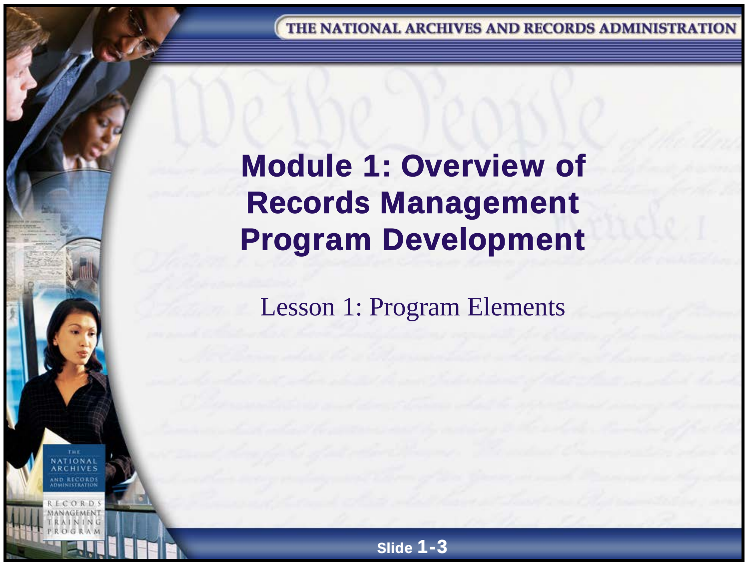
At the conclusion of this module, you will be able to:

- Describe the key components of a records management program
- Define the key elements required to build an effective records management program
- Define vital records
- Draft goals for a records management program

NOTES

Lesson 1: Program Elements

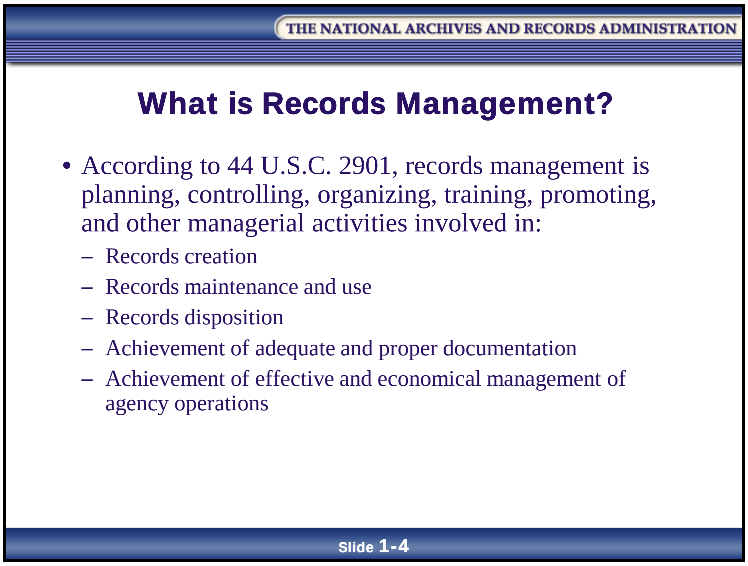
Slide 1-3



NOTES

What is Records Management?

Slide 1-4



Records management involves creating, documenting, and disposing of records.

According to 44 U.S.C. 2901, records management is planning, controlling, organizing, training, promoting, and other managerial activities involved in:

- Records creation
- Records maintenance and use
- Records disposition
- Achievement of adequate and proper documentation
- Achievement of effective and economical management of agency operations

NOTES

Key Program Requirements

Slide 1-5

According to 36 CFR 1220.34(j), to carry out the responsibilities specified in 44 U.S.C. 3101 and 3102, agencies must: "Conduct formal evaluations to measure the effectiveness of records management programs and practices, and to ensure that they comply with NARA regulations in this subchapter."

Records creation and recordkeeping requirements (planning) do the following:

- Standardize the management and design of forms, reports, correspondence, email, and directives (paper or electronic) to realize economy and efficiency of operations
- Build in features at the point of creation to help ensure the usability of the record, ease of maintenance, and continued preservation
- Capture what is needed to explain a transaction, process, function, business element, etc., from start to finish
- Capture information that provides evidence for accountability as to how the agency operated

NOTES

Records maintenance and use (implementation) involve the following requirements:

- Ensure the security of information
- Safeguard the records
- Create adequate filing schemes or file plans to make reliable access possible
- Avoid duplication and determine the office of record
- Track case files
- Ensure the trustworthiness of the records by thoroughly documenting the recordkeeping system's operation and the controls imposed upon it. To demonstrate proof, records must have the qualities of trustworthiness:
  - Integrity (an assurance that the data has not been changed subsequently)
  - Authenticity (an accurate account of an activity, transaction, or decision)

Records disposition involves the following requirements:

- Schedule records via physical inventory and analysis of the documentation of the business process. Scheduling includes:
  - Scheduling records
  - Appraising their retention values
- Determine retention periods
- Transfer and store records (off-site storage)
- Dispose of temporary records
- Transfer physical and legal custody of permanent records to the National Archives

NOTES

Electronic records involve the following requirements:

- Understand the unique requirements and specialized care of electronic and special media records
- Ensure the security of information
- Safeguard the records
- Ensure the usefulness and accessibility of the records (ensuring that software, hardware, and the storage media continue to be usable and supportable)
- Ensure the trustworthiness of the records by thoroughly documenting the recordkeeping system's operation and the controls imposed upon it. To demonstrate proof, records must have the qualities of trustworthiness:
  - Integrity (an assurance that the data has not been changed subsequently)
  - Authenticity (an accurate account of an activity, transaction, or decision)

Off-site storage can be provided by a NARA Federal Records Center (FRC), agency records center, or commercial records center.

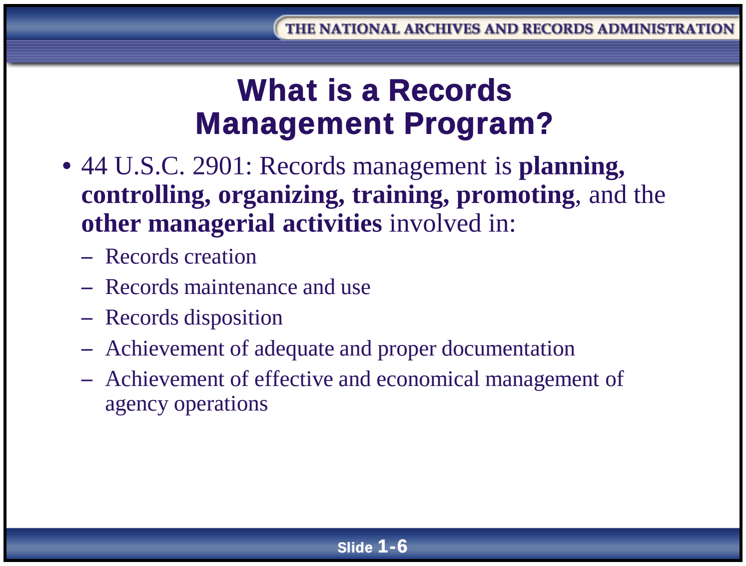
The legal definition of vital records, as taken from the Code of Federal Regulations, 36 CFR 1223.2, is: "Vital records means essential agency records that are needed to meet operational responsibilities under national security emergencies or other emergency conditions (emergency operating records), or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records)."

Refer to **Handout 1.01 –** Key Records Management Program Elements in the BPR File Manual, located in the Handouts section of the Participant Guide (PG), for a detailed listing of what needs to be included in a truly comprehensive records management program.

NOTES

What is a Records Management Program?

Slide 1-6



NOTES

Program Components

Slide 1-7

Records Management Program

Goals

Policies, directives, and procedures (control and organization) do the following:

- Establish the program
- Identify program positions and responsibilities
- Identify the parameters of the program
- Authorize records management program actions
- Detail how to implement a records management program for internal agency compliance

NOTES

Inspection

Inspection does the following:

- Ensures compliance with agency directives and Federal regulations
- Tracks the efficiency of records management within the mandated agency function
- Tracks the costs of resources – staff and equipment
- Recommends improvements
- Reveals problems and deficiencies that can be corrected and improved

Implementation

Implementation does the following:

- Identifies the scope as well as outcomes expected for the records management program
- Encourages staff to identify a variety of potential options for implementing and improving the program
- Analyzes the need for resources and the responsibilities attached to using those resources

Training

Training does the following:

- Is essential for proper recordkeeping implementation
- Promotes the records management program
- Provides a means for program staff to become familiar with records management staff
- Helps to ensure that competent people are properly managing the records program

Promotion

Promotion does the following:

- Makes staff familiar with records management, the Agency Records Officer and Records Liaisons, and other records management resources
- Motivates staff to participate in records management activities such as training, records throw-out day, etc.
- Fosters appreciation for information resources as strategic tools for the agency
- Helps to elevate the status of the records management program

NOTES

Benefits of Proper Records Management

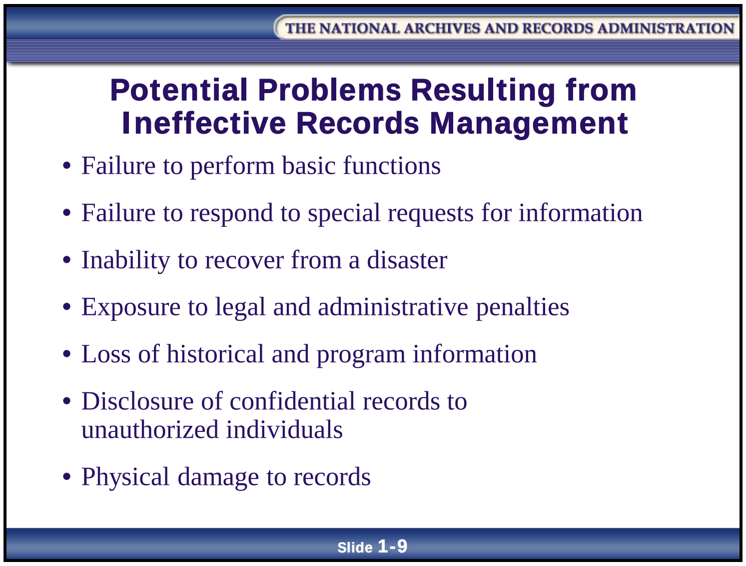
Slide 1-8

- Facilitates performance
- Provides continuity in the event of a disaster
- Protects records
- Meets statutory and regulatory requirements
- Provides protection and support in litigation
- Allows quicker retrieval of information
- Improves efficiency and productivity
- Supports and documents historical and other research

NOTES

Potential Problems Resulting from Ineffective Records Management

Slide 1-9



Many different problems can arise due to poor records management, including an agency's:

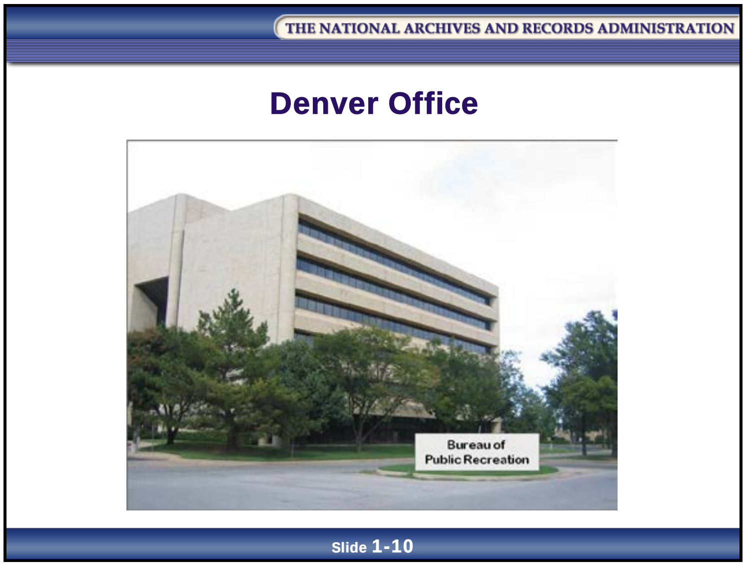
- Failure to perform basic functions
- Failure to respond to special requests for information
- Inability to recover from a disaster
- Exposure to legal and administrative penalties
- Loss of historical and program information
- Disclosure of confidential records to unauthorized individuals
- Physical damage to records

Again, without the proper management of records (the information an agency needs to conduct its business), an agency is at risk of being unable to perform its mission. The proper management of a record's lifecycle is critical.

NOTES

Scenario: Learn About the Denver Bureau of Public Recreation (BPR) Office

Slide 1-10



Refer to **Handout 1.02 –** Denver BPR Office Scenario, located in the Handouts section of your PG.

NOTES

Lesson Summary

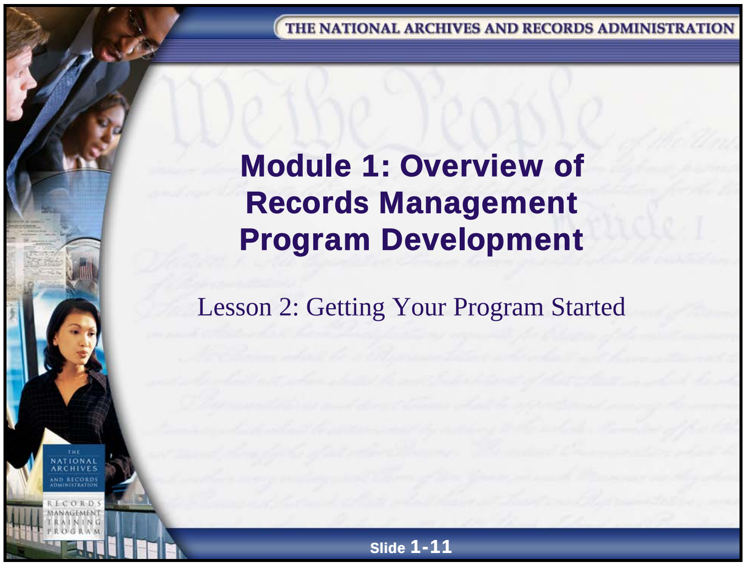
In this lesson, you learned that:

- Records management is the planning, controlling, directing, organizing, training, promoting, and other managerial activities involved in records creation, records maintenance and use, and records disposition
- A records management program should include components that address goals, inspection, implementation, training, and promotion
- The benefits of an effective records management program include:
  - Continuity in the event of a disaster
  - Protection of records
  - Protection and support in litigation
  - Quicker retrieval of information
  - Improved efficiency and productivity
  - Support for documentation for historical and other research
- The greatest risk posed to an agency by an inadequately run program is the inability of the agency to perform its mission
- Vital records (essential records) management is a subdiscipline of records management

NOTES

Lesson 2: Getting Your Program Started

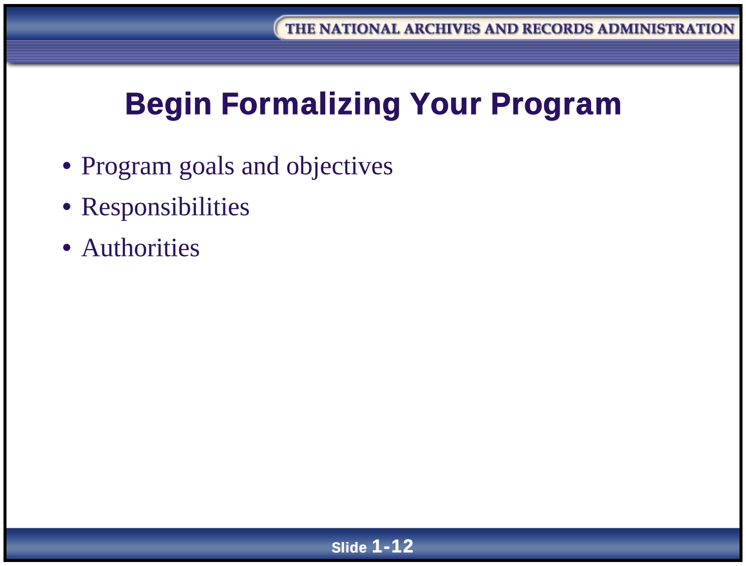
Slide 1-11



NOTES

Begin Formalizing Your Program

Slide 1-12



Program goals and objectives

- What are the goals of your program?
- What do you want to accomplish?

Responsibilities

- What needs to happen to achieve those goals?
- What types of roles and responsibilities are needed?

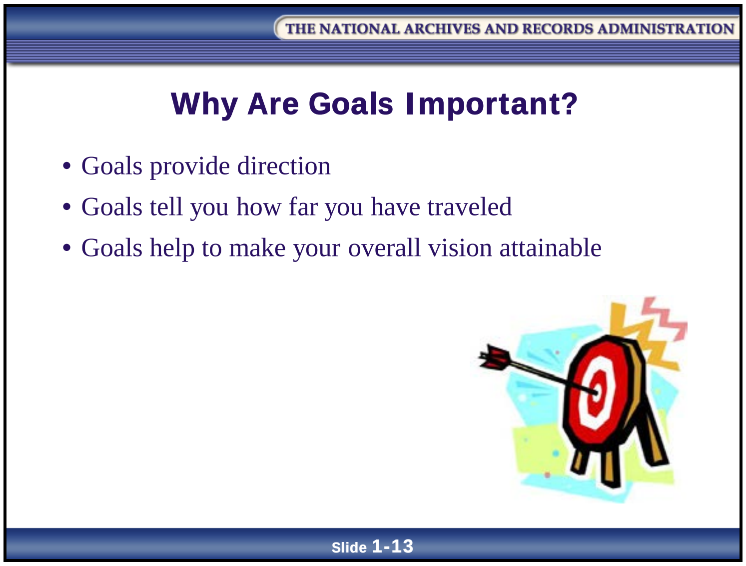
Authorities

- Who is involved?
- Who benefits from your program?
- Who are your stakeholders?

NOTES

Why Are Goals Important?

Slide 1-13



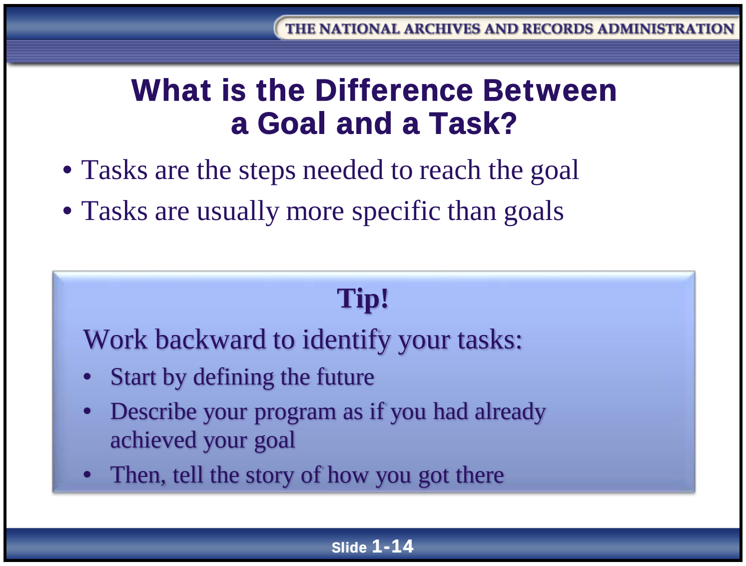
- Goals provide direction
  - With goals to guide you, you can focus your efforts only on those activities that move you toward your desired outcome
- Goals tell you how far you have traveled
  - Goals provide clear milestones on the road to results
- Goals help to make your overall vision attainable
  - Goals help you achieve success by enabling you to identify the small steps by which you will reach the necessary results

Goals are useful in looking forward, as well as looking backward. In looking forward, goals help provide a direction; they can serve as a road map. When looking back at your goals (and tasks), you can see what you have accomplished and what is left undone.

NOTES

What is the Difference Between a Goal and a Task?

Slide 1-14



Tasks are the steps you take to reach your goals. As such, tasks will often be more specific (or more detailed) than goals.

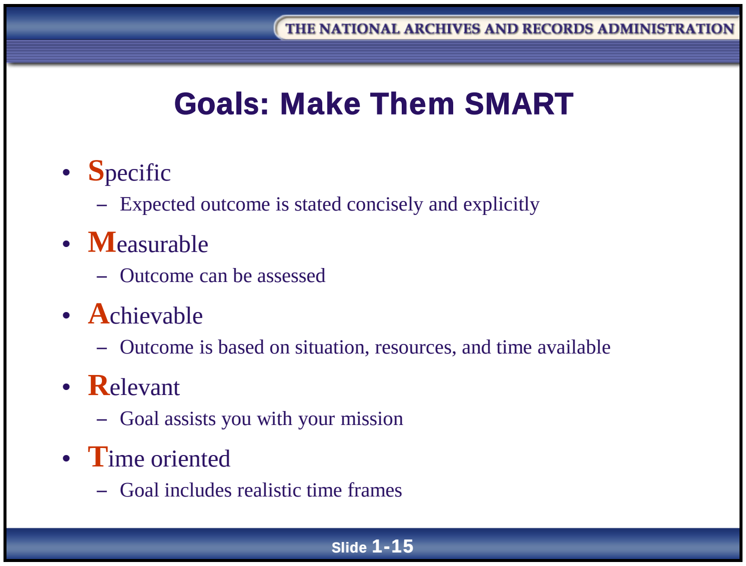
A nonrecords management example

- Goal: To have a complete understanding of investing in bonds by next June 15
- Tasks:
  - Go to the library and get a book on bonds
  - Visit websites for bond information
  - Read and research for one hour a day, three days per week
  - Call your friend who has had success in the bond market
- All tasks should be written down on the same paper as the goal they support and given target dates

NOTES

Goals: Make Them SMART

Slide 1-15

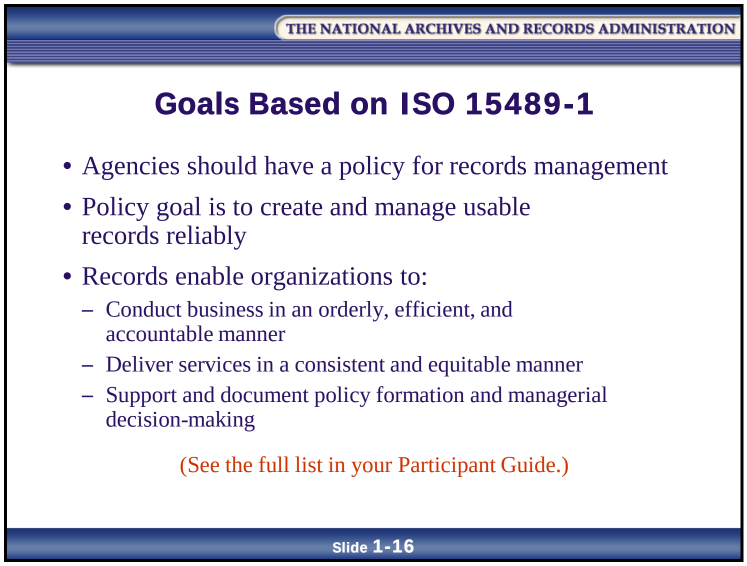


- **Specific**
  - The expected outcome should be stated concisely and explicitly
- **Measurable**
  - The outcome can be assessed:
    - On a numbered scale (1–10) or
    - As a “success” or “failure”
- **Achievable**
  - The outcome is based on the situation, resources, and time available
- **Relevant**
  - The goal assists you with your mission
- **Time oriented**
  - The goal should include realistic time frames

NOTES

Goals Based on ISO 15489-1

Slide 1-16



Records enable organizations to:

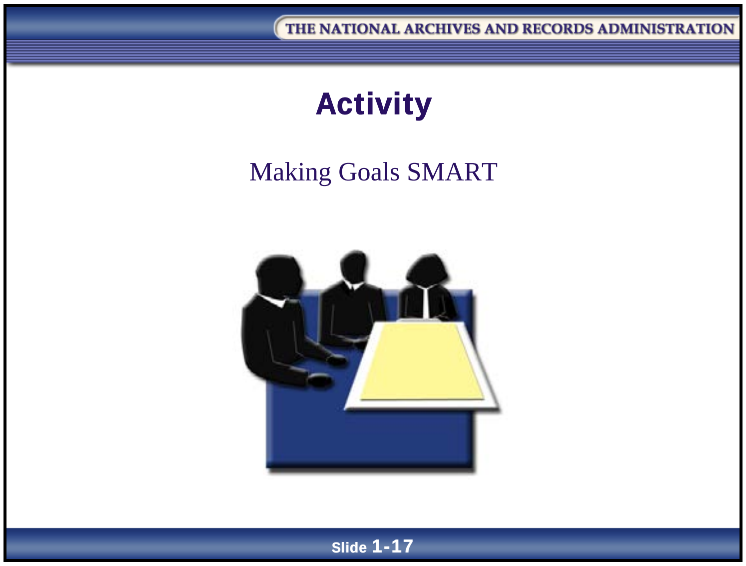
- Conduct business in an orderly, efficient, and accountable manner
- Deliver services in a consistent and equitable manner
- Support and document policy formation and managerial decision-making
- Provide consistency, continuity, and productivity in management and administration
- Facilitate the effective performance of activities throughout an organization
- Meet legislative and regulatory requirements, including archival, audit, and oversight activities
- Provide protection and support in litigation, including the management of risks associated with the existence of, or lack of, evidence of organizational activity
- Protect the interests of the organization and the rights of the employees, clients, and present and future stakeholders
- Support and document current and future research and development activities, developments, and achievements, as well as historical research
- Provide evidence of business, personal, and cultural identity
- Maintain corporate, personal, and collective memory

For more information on ISO-15489-1, see **Handout 1.03** – ISO 15489-1 Information and Documentation, located in the Handouts section of your PG.

NOTES

Activity: Making Goals SMART

Slide 1-17



NOTES

[This page intentionally left blank.]

NOTES

Making Goals SMART Worksheet

Purpose: The goal of this activity is to check to see if the written goals are SMART and, if not, to rewrite them to make them SMART.

Directions:

Read the Denver BPR Office's goals in the table below and determine if they are SMART. If not, identify the missing element (by first letter). (**S**pecific, **M**easurable, **A**chievable, **R**elevant, **T**ime oriented) **Note:** Some goals may have more than one missing element.

1. Work with your table group to rewrite each **assigned** goal statement to make it SMART. (See the example (*in italics*) in the first row of the table.)

Assumptions:

- Today is February 1
- The resources needed (e.g., staff, money, time) are available in this office

Table 1-4: Making Goals SMART Worksheet

Goal Statement	What is Missing?	Rewritten Goal
Example: *List what is needed to move the office to an electronic system.*	*S, T*	*Identify the steps (including resources needed) to implement an electronic records management database by June 30.* *Implement an electronic records management database by December 31.*
1. Determine the status of each document – is it a record or not?		
2. Develop a file plan by February 28		
3. Create an organizational chart of all Denver Office staff by June 30		

Goal Statement	What is Missing?	Rewritten Goal
4. Move the records to another location or repair the roof by March 1		
5. Increase the understanding of senior staff on the importance of records management		
6. Develop a training course by the end of the third quarter		
7. Refine the case file system		
8. Write a schedule by July 15 that is based on current operations		
9. Develop a vital records program by March 31		
10. Identify a list of external sources that can help improve the records management program by June 30		

Lesson Summary

In this lesson, you learned that:

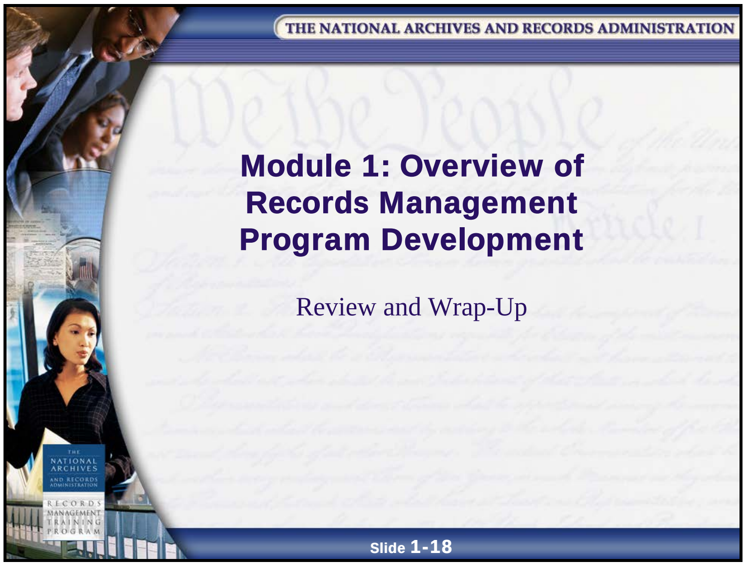
- An agency should begin to develop its records management program by creating goals and objectives and establishing responsibilities and authorities
- Goals are important because they provide direction, provide status and milestones, and help to make your overall vision attainable
- Goals should be SMART: Specific, Measurable, Achievable, Relevant, and Time oriented
- ISO 15489-1 recommends that an agency define a policy for records management whose goal is the creation and management of reliable and usable records capable of supporting business activities

NOTES

[This page intentionally left blank.]

Module 1 Review and Wrap-Up

Slide 1-18

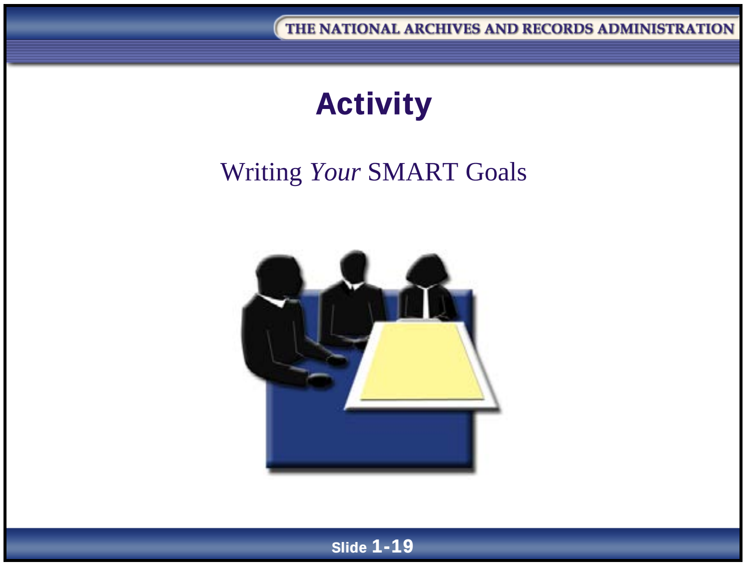


Overview

NOTES

Activity: Writing *Your* SMART Goals

Slide 1-19



NOTES

Writing *Your* SMART Goals Worksheet

Purpose: The goal of this activity is to allow you time to develop SMART goals for ***your*** agency's records management program.

Directions:

1. Work individually to write at least two goals for your agency's records management program.
2. Check each goal to see if it is SMART, and rewrite if necessary.

Specific **M**easurable **A**chievable **R**elevant **T**ime oriented

---

Goal Statements

1. ____

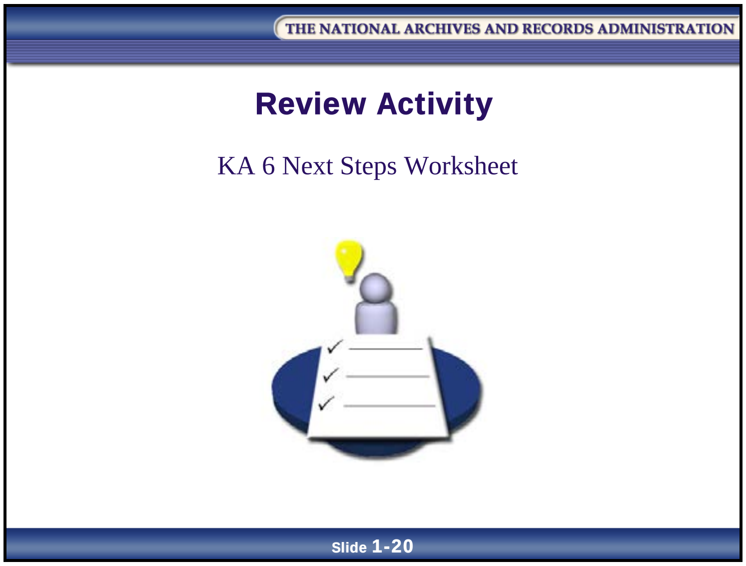
2. ____

3. ____

[This page intentionally left blank.]

Review Activity: KA 6 Next Steps Worksheet

Slide 1-20



Training is useful only if you can apply it to your everyday responsibilities; therefore, it is important that you use the information and concepts you learn in this course to create a Next Steps sheet for when you return to your office.

NOTES

Module Review

Slide 1-21

In Module 1, you learned:

- A records management program should include components that address goals, inspection, implementation, training, and promotion
- While there are many benefits of an effective records management program, the greatest risk posed by an inadequately run program is the inability of the agency to perform its mission
- The development of SMART goals for your program is a critical step in helping your agency attain its overall vision

NOTES

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Participant Guide
January 2017

Knowledge Area 6

Module 2: Records Management Inspection

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
RECORDS MANAGEMENT TRAINING PROGRAM

[This page intentionally left blank.]

Table of Contents

Introduction and Objectives .... PG 2-1
Overview .... PG 2-1
Objectives .... PG 2-2

Lesson 1: Inspection Basics .... PG 2-3
What is a Records Management Inspection? .... PG 2-4
Why is It Important to Conduct an Inspection? .... PG 2-5
Agency Internal Inspections .... PG 2-6
Agency Inspection Regulations .... PG 2-7
NARA Inspection Process .... PG 2-9
Four Basic Steps for Program Inspection .... PG 2-10
Lesson Summary .... PG 2-11

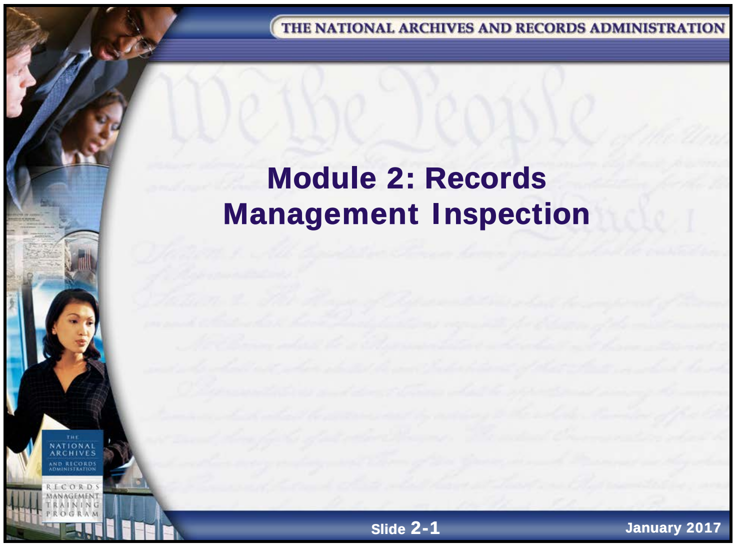
Lesson 2: Sources and Success Factors .... PG 2-13
Resources to Help Agencies Conduct Inspections .... PG 2-14
How Will We Know How We Are Doing? .... PG 2-16
Critical Success Factors .... PG 2-16
Lesson Summary .... PG 2-20

Lesson 3: Inspection Components .... PG 2-21
Internal Inspection Program Steps .... PG 2-22
Planning the Inspection .... PG 2-23
Conducting the Inspection .... PG 2-25
Activity: Developing a Questionnaire .... PG 2-28
Developing a Questionnaire Worksheet .... PG 2-29
Writing the Inspection Report .... PG 2-31
Implementing Recommendations .... PG 2-33
Lesson Summary .... PG 2-34

Module 2 Review and Wrap-Up ... PG 2-35
Overview ... PG 2-35
Review Activity: KA 6 Next Steps Worksheet ... PG 2-36
Module Review ... PG 2-37

Introduction and Objectives

Slide 2-1



Overview

An effective records management program depends on the systematic creation and maintenance of agency records and on a systematic approach to the disposition of records when they are no longer needed for current government business.

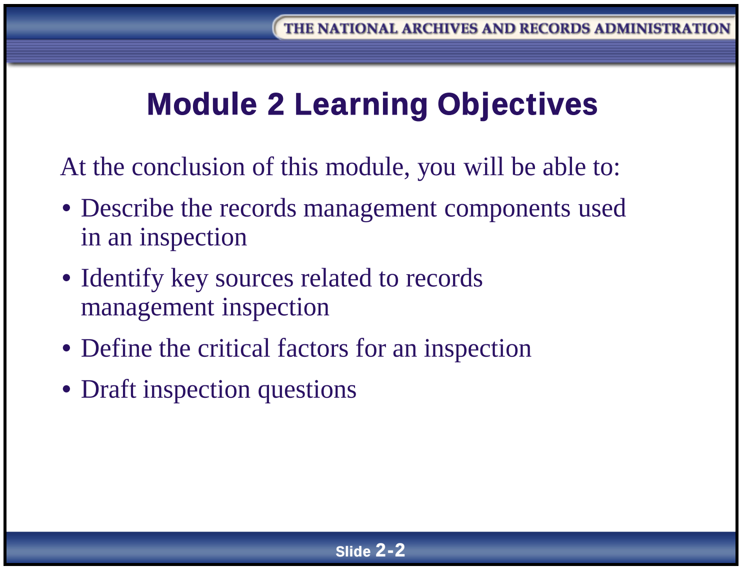
In Module 1, we looked at how to get a program started. In Module 2, we will take the next step and explore how an agency should evaluate its records management program. Within this module, we will address these questions:

- What does an inspection include?
- What are the critical success factors?
- What are the steps an agency needs to take to complete an inspection?

NOTES

Objectives

Slide 2-2



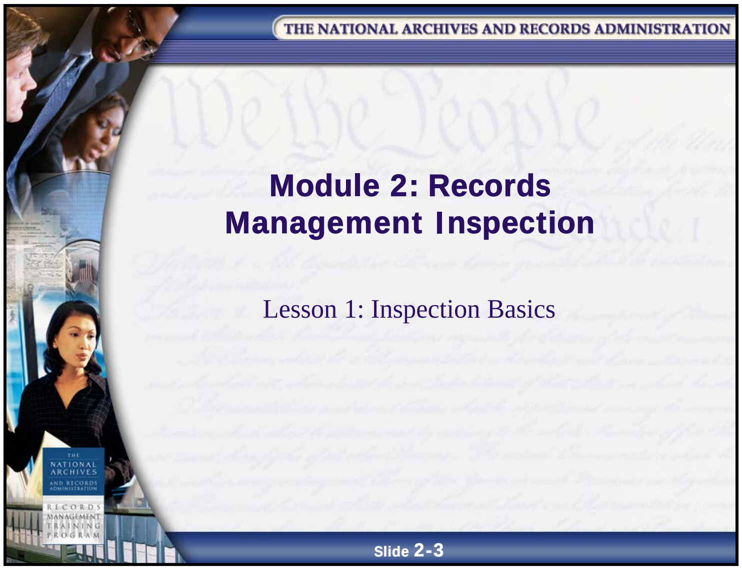
At the conclusion of this module, you will be able to:

- Describe the records management components used in an inspection
- Identify key sources related to records management inspection
- Define the critical factors for an inspection
- Draft inspection questions

NOTES

Lesson 1: Inspection Basics

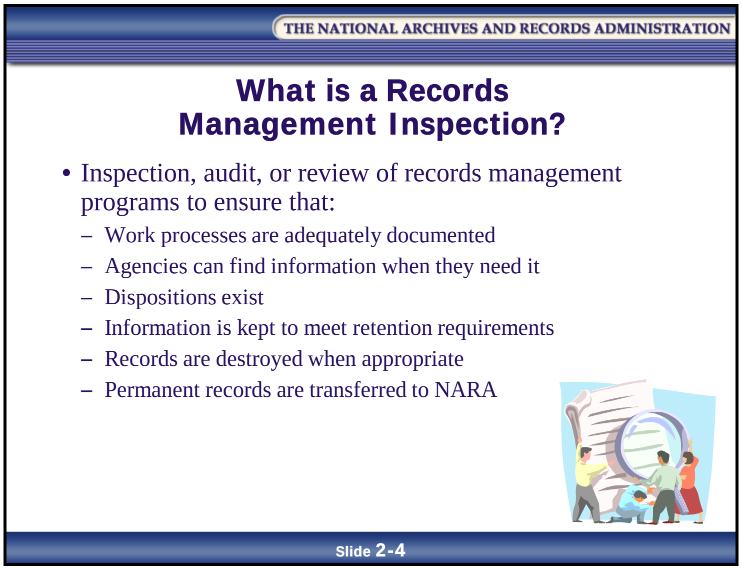
Slide 2-3



NOTES

What is a Records Management Inspection?

Slide 2-4



A records management inspection is an audit, or review, of records management programs to ensure that:

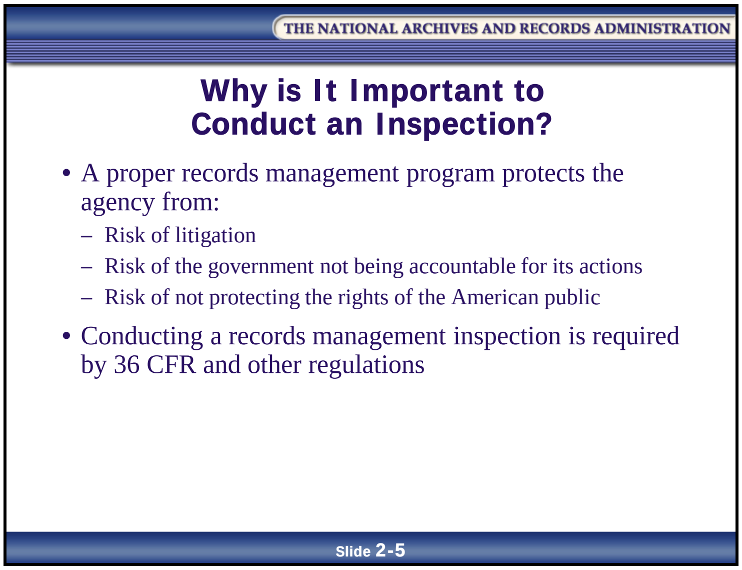
- Work processes are adequately documented
- Agencies can find information when they need it
- Dispositions are occurring as part of a normal business process
- Information is kept to meet retention requirements
- Records are destroyed when appropriate
- Permanent records are transferred to NARA

Note: Sometimes these inspections are called “self-inspections” because the agency is conducting an internal inspection. NARA does conduct inspections of agencies, and although this will be discussed briefly, it is not the focus of this module.

NOTES

Why is It Important to Conduct an Inspection?

Slide 2-5



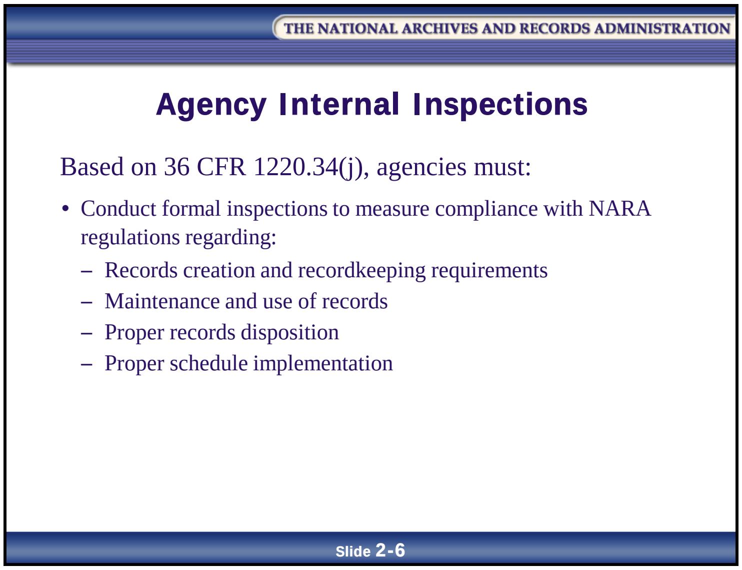
Conducting an inspection – which is required by 36 CFR – will help you and your agency have a successful records management program.

- A proper records management program protects the agency from:
  - Risk of litigation
  - Risk of the government not being accountable for its actions
  - Risk of not protecting the rights of the American public

NOTES

Agency Internal Inspections

Slide 2-6



The regulatory authority for agency records management self-inspection is based on NARA's legal mandate to create Federal records management regulations. NARA issues records management regulations for the Federal Government that include guidelines for conducting agency self-inspections – specifically, 36 CFR 1220.34.

36 CFR 1220.34(j) states that agencies must conduct formal inspections to measure the effectiveness of the records management programs and practices and ensure that they comply with NARA regulations regarding:

- Records creation and recordkeeping requirements
- Maintenance and use of records
- Proper records disposition
- Proper schedule implementation

NOTES

Agency Inspection Regulations

Slide 2-7

The regulations – which include 36 CFR and others (as listed below) – are written broadly so that each agency can best implement the inspections to meet the needs of:

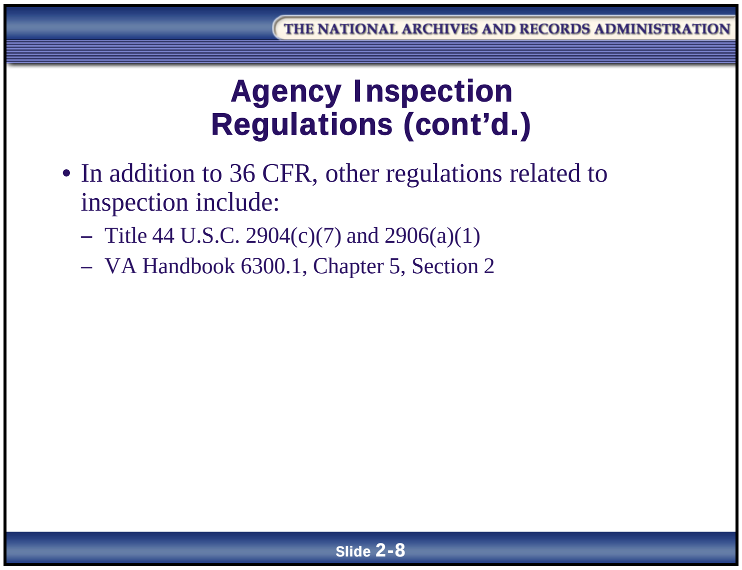
- Agency functions or program offices
- Headquarters or field offices
- The entire agency
- Offices and programs affected by reorganizations
- Offices with new programs mandated by legislation

Unfortunately, this internal inspection responsibility is not incorporated in many agency records management directives. Your agency's directives are key ingredients in establishing an inspection program. Directives should provide records management requirements for programs and serve as the basis for your inspections. They should also provide you with authority to perform inspections, and you should cite this authority when actually performing inspections.

In turn, your inspection program should be based on compliance with your agency's records management directives. You should ensure that agency directives are complete and up-to-date. Inspections can be a test of whether your directives are complete or outdated as well as a test of whether there is compliance.

NOTES

Slide 2-8



Other regulations related to inspections include:

- Title 44 U.S.C. 2904(c)(7) and 2906(a)(1)
- VA Handbook 6300.1, Chapter 5, Section 2

Title 44 U.S.C. 2904(c)(7)

To conduct inspections or surveys of the records and the records management programs and practices within and between Federal agencies.

Title 44 U.S.C. 2906(a)(1)

The Archivist … may inspect the records or the records management practices and programs of any Federal agency solely for the purpose of rendering recommendations for the improvement of records management practices and programs.

Review of Official Files VA Handbook 6300.1, Chapter 5, Section 2

Official files are reviewed periodically to ensure that:

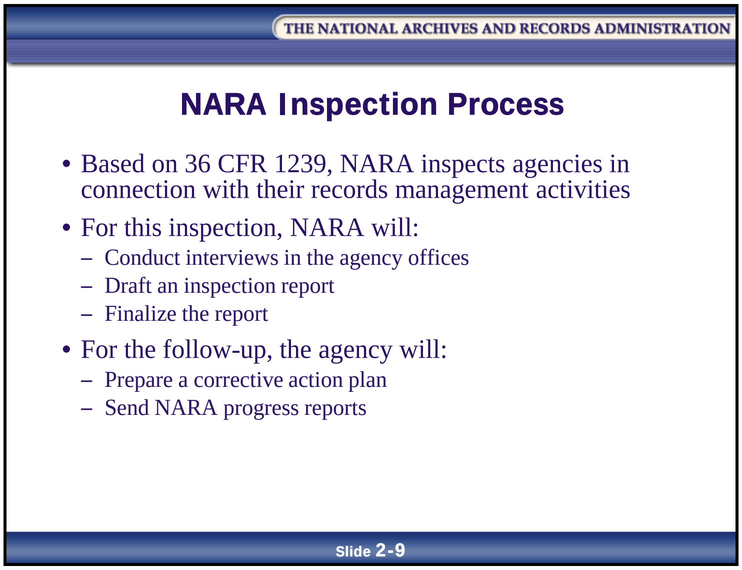
- There is no duplication of material, no misclassification, and no misfiles
- Nonrecord materials are not interfiled with record materials, and permanent records are not interfiled with temporary records

It is important that the filing system, and its effectiveness in providing the records and information needed in a timely manner, be sufficient for the conduct of Veterans Administration (VA) business.

NOTES

NARA Inspection Process

Slide 2-9



Based on 36 CFR 1239, NARA will inspect agencies based on their records management activities.

For this inspection, NARA will:

- Officially contact the agency to be inspected
- Visit the agency offices and conduct interviews
- Draft an inspection report and send it to the agency for comment
- Finalize the report (including an action plan requirement) and present it to head of the agency

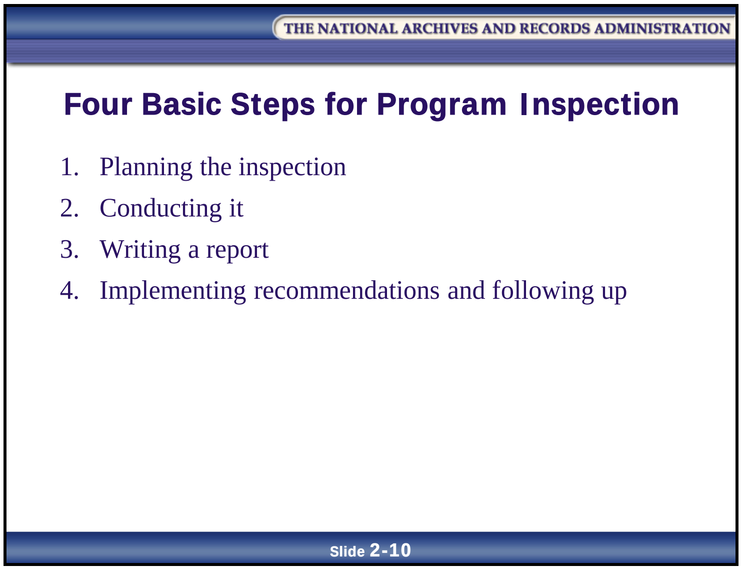
For the follow-up:

- The agency must submit a plan of corrective action within 60 days of transmission of the final report
- Once the plan is agreed upon by both sides, agencies must submit progress reports to NARA until all actions are completed

NOTES

Four Basic Steps for Program Inspection

Slide 2-10



The four steps of program inspection (listed below) are described in detail in Lesson 3 of this Module:

1. Planning the inspection
2. Conducting it
3. Writing a report
4. Implementing recommendations and following up

NOTES

Lesson Summary

In this lesson, you learned that:

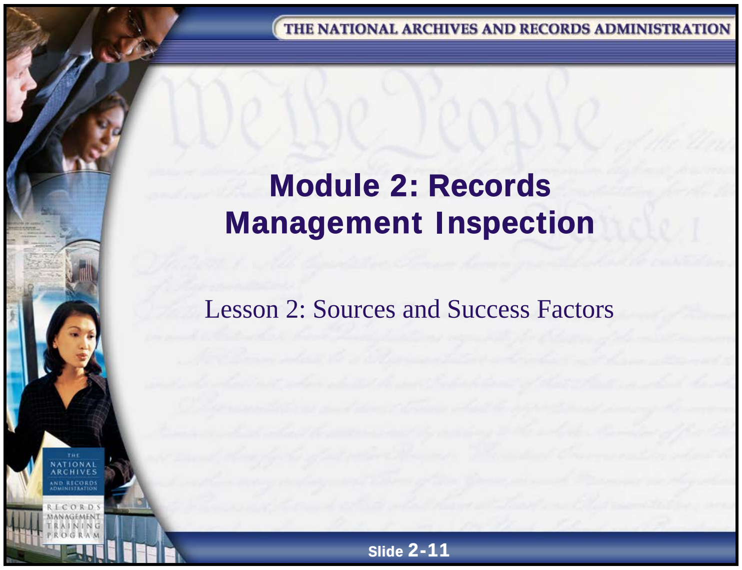
- An inspection is an audit, or review, of records management programs to ensure that your records management program is running effectively and efficiently
- 36 CFR 1220.34(j) requires that agencies periodically conduct internal inspections
- The four steps to conduct an inspection are:
  - Planning the inspection
  - Conducting it
  - Writing a report
  - Implementing recommendations and following up

NOTES

[This page intentionally left blank.]

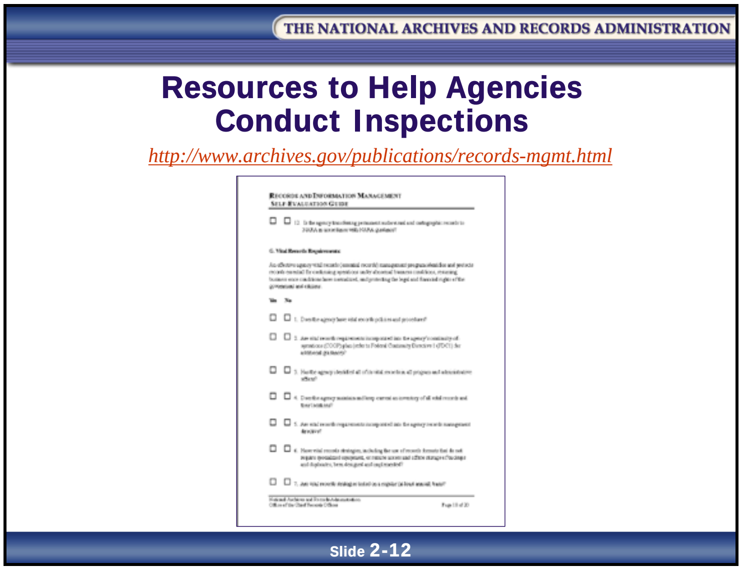
Lesson 2: Sources and Success Factors

Slide 2-11



Resources to Help Agencies Conduct Inspections

Slide 2-12



One primary source of information is, of course, NARA. Agencies can also hire external contractors to help them conduct their inspection.

Records and Information Management Self-Evaluation Guide:

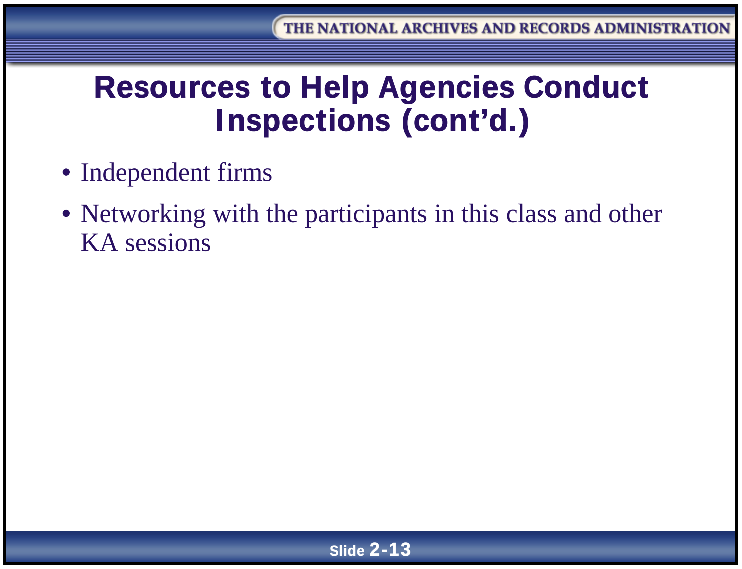
http://www.archives.gov/publications/records-mgmt.html

This NARA link provides a guide that agencies can use.

This guide was developed as an overview of the basic components of a records management program. It is provided to help agencies implement the requirement to conduct self-inspections (36 CFR 1220.34(j)). Using this guide will assist agencies in making a preliminary assessment of the status of their records management programs and in identifying major problems and setting priorities for program improvements.

Although the guide provides a framework for general inspection of a records management program, agencies that wish to conduct a more in-depth review may add more specific questions based on other NARA records management publications. Agencies may also modify or add questions to accommodate specialized records and recordkeeping practices.

Slide 2-13



Independent Firms

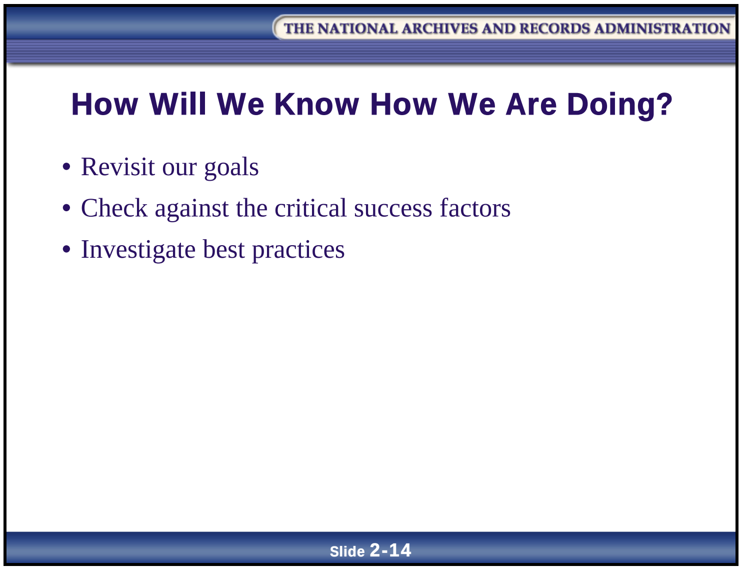
Agencies are not required to conduct all (or part) of their internal inspection on their own. An agency may hire independent firms to help conduct an inspection.

Other KA Course Participants

Networking with the participants in this class (as well as other KA courses you attend) can help you learn about their inspection strategies.

How Will We Know How We Are Doing?

Slide 2-14

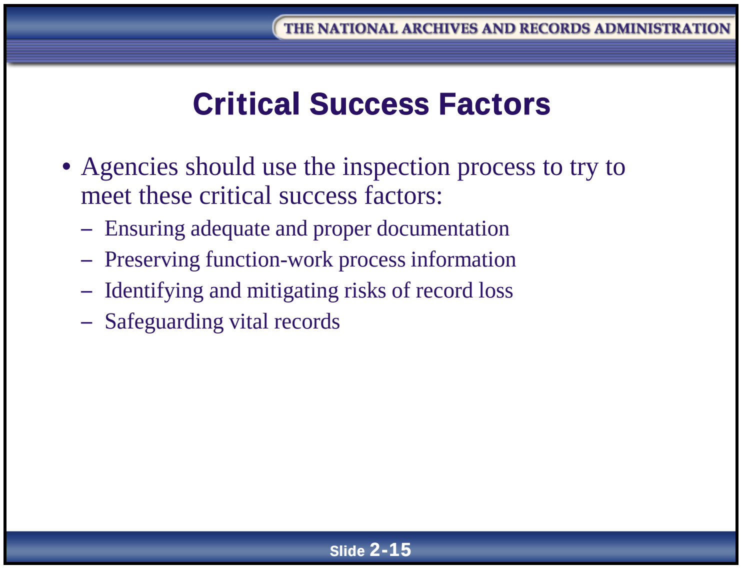


There are several steps to take to evaluate progress:

- Revisit goals
  - **Example:** Here is a nonrecords-management-related goal. Imagine that on New Year's Day you wrote these as goals:
    - Lose 10 pounds by June 30
    - Be able to run 2 miles in 15 minutes by May 1
    - Eat a healthier diet by following the food pyramid on a daily basis
  - How can you assess how you are doing?
    - Goal 1: Lose 10 pounds by June 30.
      Assessment: Weigh yourself.
    - Goal 2: Be able to run 2 miles in 15 minutes by May 1.
      Assessment: Time and measure the distance you run.
    - Goal 3: Eat a healthier diet by following the food pyramid on a daily basis.
      Assessment: Write down what you eat.
- Check against the critical success factors
- Investigate best practices

Critical Success Factors

Slide 2-15

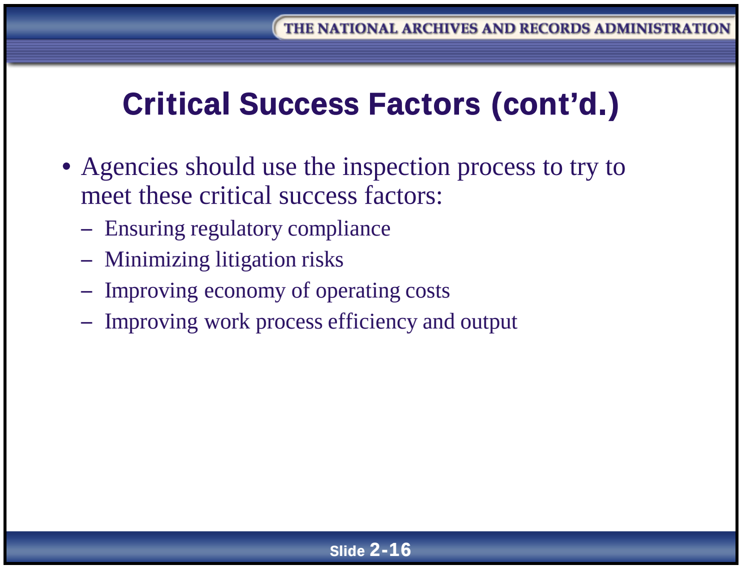


There are a number of critical success factors for evaluating records management programs:

- Ensuring adequate and proper documentation allows you to:
  - Limit generation of records
  - Avoid duplication of effort and records
  - Separate records from nonrecord materials
  - Schedule records with appropriate retentions
  - Offer new technologies when appropriate
- Preserving function-work process information:
  - Promotes sound management decision-making
  - Protects legal rights
  - Ensures government accountability
  - Preserves organizational memory for historical and planning purposes

- Identifying and mitigating risks of record loss allow you to:
  - Measure record risk factors for acceptable levels of risk
  - Put safeguards in place to protect the records and the information, including:
    - Records creation and use safeguards
    - Physical safeguards – equipment and accessibility
    - Contingency plans
- Safeguarding vital records (essential records) involves:
  - Identifying the information critical for starting or continuing mandated operations
  - Identifying information essential for protecting legal rights
  - Creating contingency plans for emergency situations
  - Identifying an acceptable level of risk for vital information

Slide 2-16



- Complying with regulations allows you to:
  - Ensure proper work process operations
  - Avoid audit and inspection failure consequences or penalties
  - Achieve regulatory goals
- Minimizing litigation risks allows you to:
  - Protect legal rights
  - Avoid penalties
  - Avoid lawsuit-related costs:
    - Additional manpower for lawsuit activity
    - Loss of manpower from mandated function to lawsuit-related activity
    - Costs and materials for reproducing records
    - Wear on the equipment

- Improving economy of operating costs:
  - Reduces equipment needs
  - Reduces storage costs
  - Reduces costs in records servicing by staff
- Improving work process efficiency and output allows you to:
  - Enhance timely records retrieval
  - Identify and standardize information critical for adequate documentation
  - Avoid negative media coverage of the work process
  - Avoid negative congressional attention

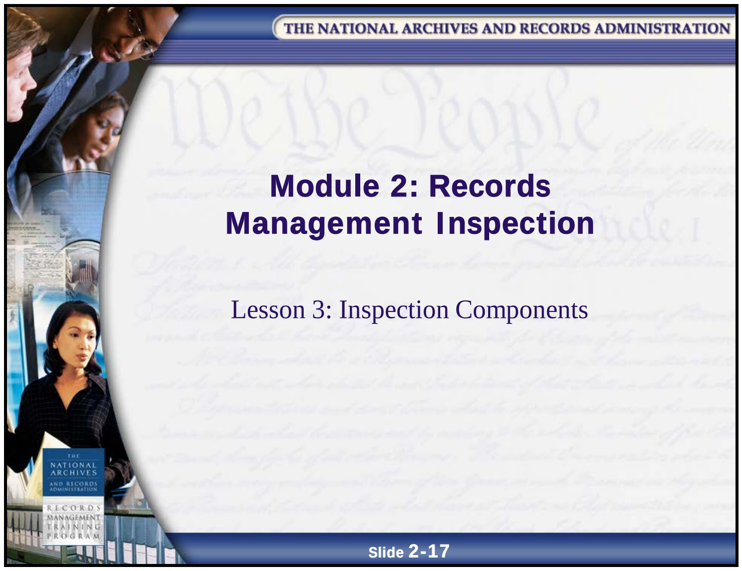
Lesson Summary

In this lesson, you learned that:

- Resources to help agencies with their inspections include NARA and outside firms
- Agencies can assess their efforts based on their goals and lists of success factors
- Best practices provide another resource to assist agencies with their inspection plans

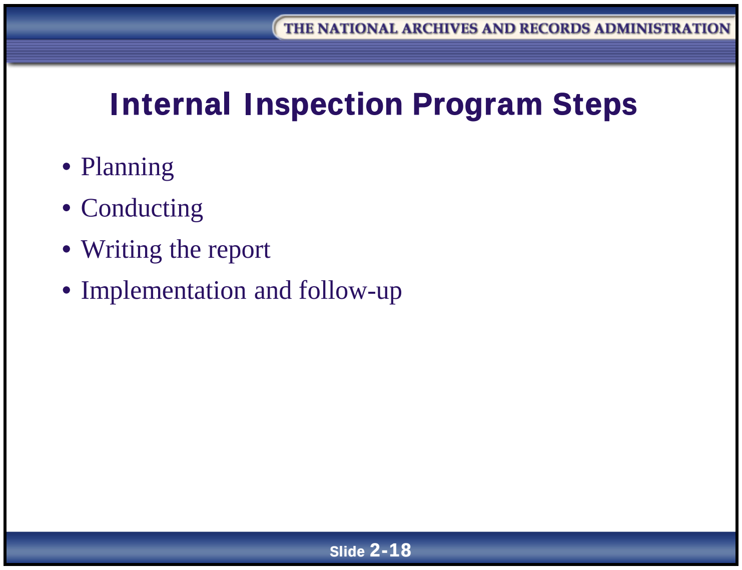
Lesson 3: Inspection Components

Slide 2-17



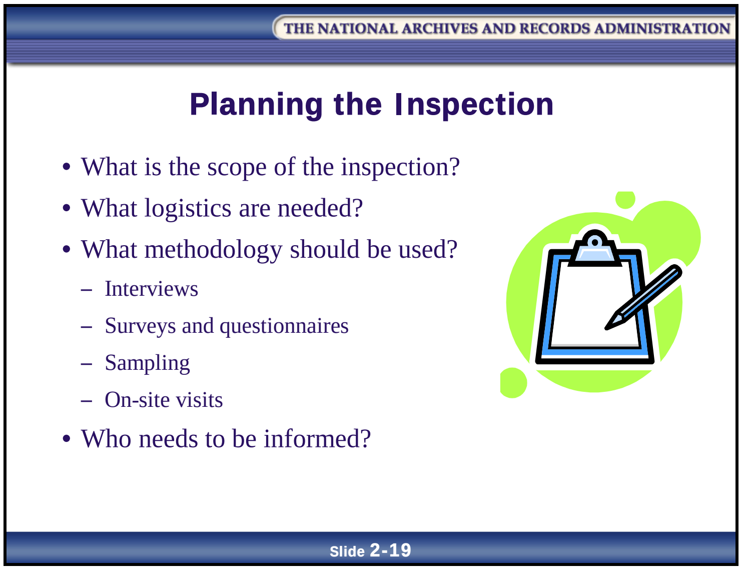
Internal Inspection Program Steps

Slide 2-18



Planning the Inspection

Slide 2-19



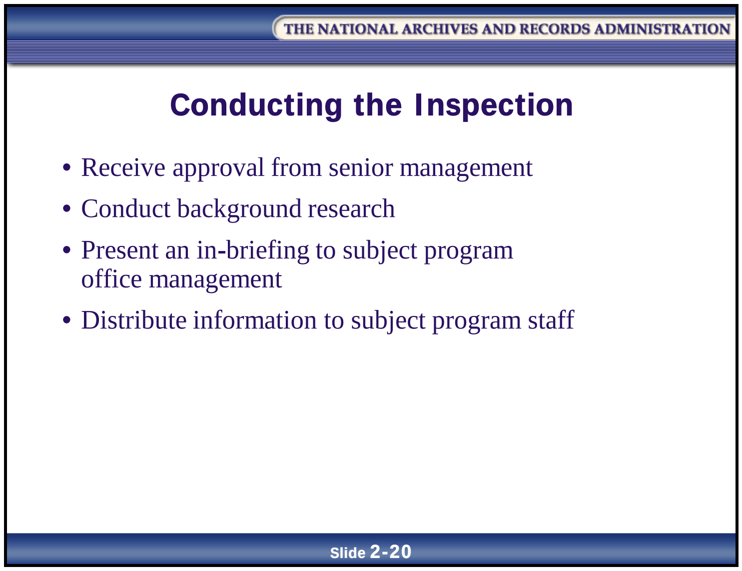
Planning an inspection – consider the following:

- What is the scope of the inspection?
  - What do you want to evaluate and why?
  - Identify potential problems to review
  - Is the agency facing an emergency situation involving records? Stress that agencies set priorities for inspection in program areas where there are the greatest perceived risks (to rights and accountability) or known or suspected problems.
- What logistics are needed?
  - You must estimate and justify the expenditure of resources
  - What materials will you need to procure?
  - Who will conduct the inspection?

- What methodology (information-gathering techniques) should be used?
  - Interviews:
    - Allow immediate reactions or answers
    - Identify points of contact
    - Allow you to assess the abilities of the person being interviewed
  - Surveys and questionnaires:
    - Use standard questions that focus on key issues
    - Save time
    - Are easy to tabulate to identify trends
  - Sampling is used when there is a large targeted volume or population
  - On-site visits combined with interviews and review of files:
    - Allow you to get to know program staff
    - Identify records management issues at the location
    - Gather and assess information for potential training and promotion
- Who needs to be informed?
  - After preparing your business case for conducting an inspection, contact senior management for inspection project approval
  - Contact the program offices that are the subject of the inspection. Give them enough notification time for accommodation in their work plan.
  - Remind inspection subjects that this project is not to rate them but to find ways to help them be more efficient, productive, and compliant

Conducting the Inspection

Slide 2-20

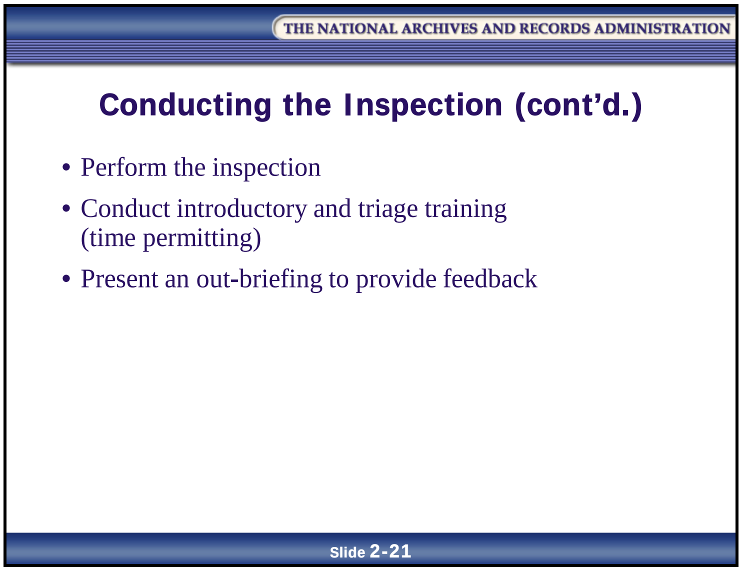


Conducting the inspection:

- Receive approval from senior management:
  - If an inspection program is already in place, you may already have approval for your self-inspection program and may proceed with whatever periodic schedule is already in place
  - You may have an approved self-inspection program in place that has fallen into disuse – you may still need to make a business case to senior management to reintroduce them to the self-inspection program and to justify its worth
  - If you have no self-inspection program in place, you will need to make a business case to justify the inspections to senior management; self-inspections can:
    - Ensure legal and regulatory compliance
    - Identify opportunities for cost avoidance
    - Identify potential areas for risk mitigation
    - Ensure that adequate recordkeeping practices are implemented

- Conduct background research:
  - Review mission functions for the subject program
  - Review program policies, regulations, and authorities
  - Review program procedural manuals
  - Talk to people knowledgeable about the workings of the agency
  - Make sure your research allows you to understand the mandated function so you can then understand how the agency documents its essence through its work process for the function
- Present an in-briefing to subject program office management:
  - This is your chance for a positive first impression, which may make or break your level of cooperation with that office; establish a rapport with program management staff
  - Explain the purpose of the inspection
  - Explain what is required of the subject office
  - Explain the potential benefits the inspection will provide
  - Explain how long the inspection will take per visit, including follow-up visits and calls and a review of the draft inspection report
- Distribute information to subject program staff:
  - Distribute a memo or agenda that lists:
    - Who is coming
    - Whom you will be meeting
  - Topics of discussion
  - Distribute materials that may be needed for the inspection:
    - Records disposition manuals
    - Copies of the General Records Schedules
    - Inspection questionnaires and instructions
    - Copies of NARA guidebooks (they can be downloaded from the web)

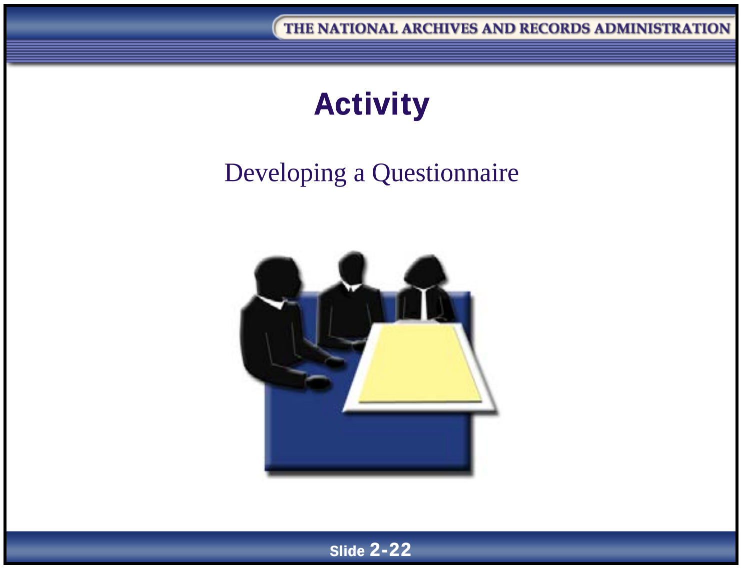
Slide 2-21



- Perform the inspection:
  - Do interviews and take notes; gather your data from the subject; a questionnaire may be used as a guide for interviews
  - Write down the names and contact information for future consultations – you may have some follow-up questions as you start your analysis of the gathered data
  - Inspect the file stations and get an electronic system demonstration
  - Conduct numerical or metric studies for satisfactory ratings
  - Collect any handouts that the subject office may have
- There may be time to conduct introductory and triage training
- Present an out-briefing to subject program office management for immediate feedback:
  - Explain the positive aspects of a records management program
  - Point out possible problem areas
  - Explain what will happen next:
    - Gathered data will be analyzed
    - A written report will be prepared with findings and recommendations
    - The subject office will have an opportunity to comment on the report
    - An action plan will be developed to meet recommendations

Activity: Developing a Questionnaire

Slide 2-22


THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Activity
Developing a Questionnaire
Slide 2-22

Developing a Questionnaire Worksheet

Purpose:

The activity's goal is to write questions to be included in an inspection survey for the Denver BPR Office's records management program.

Directions:

In your group:

1. Review **Handout 1.02 –** Denver BPR Office Scenario, located in your Participant Guide.
2. Work with your table group to develop a list of questions you would want to include in your inspection tools.
3. Record your answers on a chart, and be prepared to present them to the large group.

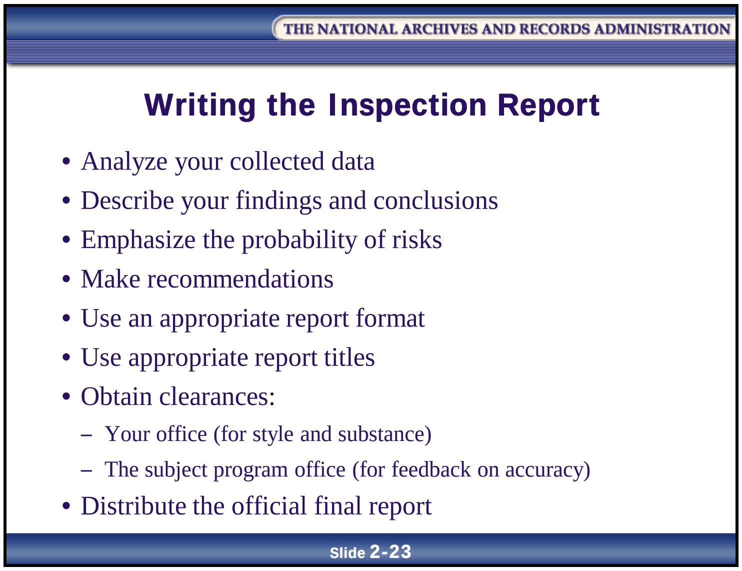
Note: There is an internal inspection checklist in the handouts (**Handout 2.01 –** Internal Inspection Sample Job Aid) that may help get you started on developing questions.

Inspection Questions

[This page intentionally left blank.]

Writing the Inspection Report

Slide 2-23



Writing a report:

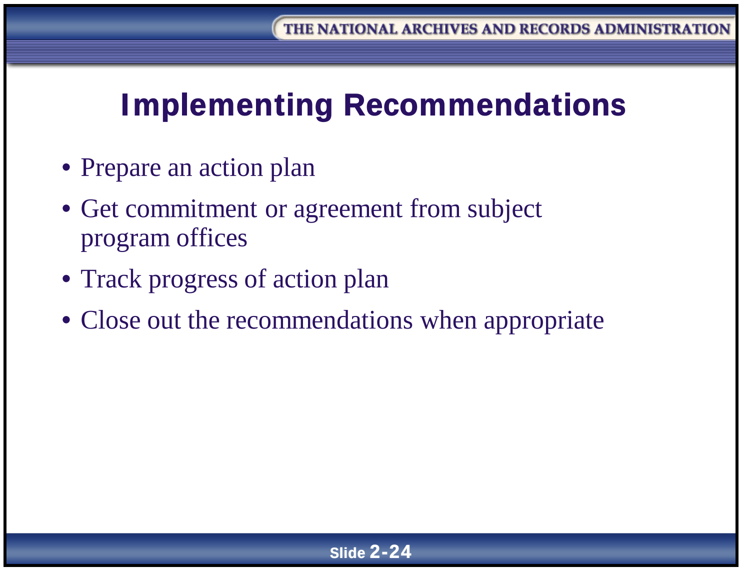
- Analyze your collected data:
  - Did you use standardized questionnaires or forms?
  - Can information be quantified to identify trends?
- Describe your findings and conclusions:
  - Your findings must support your conclusions
  - Use a persuasive and authoritative writing style
  - Acknowledge positive findings

- Identify specific problems. Problems should be tied to the following issues:
  - Are work processes being adequately documented?
  - Can agencies find the information when they need it?
  - Do authorized dispositions exist?
  - Is information being kept to meet retention requirements?
  - Are records destroyed when called for?
  - Are permanent records coming to NARA?

- Emphasize the probability of risks to the agency or public. Refer to calculations, models, and flowcharts that may be included either within the body of the report or as appendices, whichever is more appropriate. Any calculations, models, or charts that need extensive explanation should go into an appendix – explanation is needed to add credibility to your findings and thus your conclusions.
- Make your recommendations:
  - Recommendations must be able to solve the problem and give measurable returns
  - Recommendation feasibility may need to be costed out for justification
  - Recommendations must be specific
- Use an appropriate report format for your agency or program office so the inspection report will be easily recognized as an official report to which the program office must respond
- Use appropriate report titles
- Obtain appropriate clearances:
  - Obtain your own office clearance for style and substance before sending it to the subject program office
  - Send it to the subject program office for comment on the accuracy and other feedback
  - Incorporate subject program office feedback
- Distribute the official final report

Implementing Recommendations

Slide 2-24



Implementing the recommendations and following up on progress:

- Work with the subject program office to prepare an action plan to implement the recommendations; create milestones for fulfilling recommendations
- Get agreement from the subject program office to commit to an action plan, and have your office commit to means to assist them
- Track the progress of the action plan in implementing the recommendations
- Close out the recommendations when they reach a satisfactory completion or point of progression in the milestones to meet the requirements

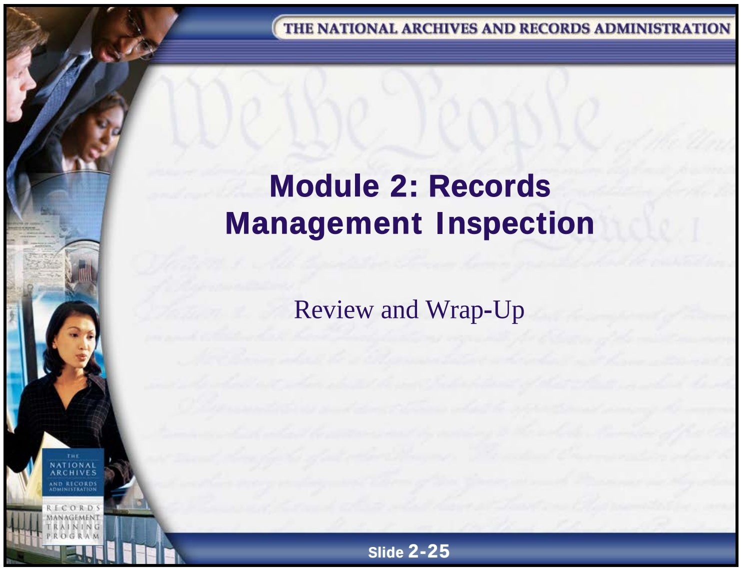
Lesson Summary

In this lesson, you learned the following steps in the inspection process:

- Planning
  - Consider scope, logistics, methodology, stakeholders, and participants
- Conducting
  - Carry out research, in-briefing(s), interview and survey, and out-briefing(s)
- Writing
  - Analyze data, describe findings, make recommendations, and distribute final report
- Implementing
  - Prepare action plan, get commitment from subject program office(s), and track progress

Module 2 Review and Wrap-Up

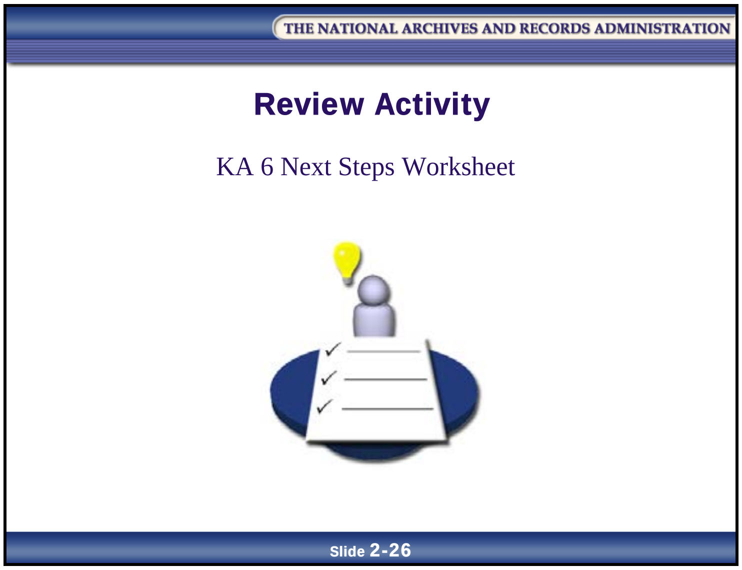
Slide 2-25



Overview

Review Activity: KA 6 Next Steps Worksheet

Slide 2-26



Module Review

Slide 2-27

In Module 2, you learned that:

- The inspection process is an audit of a records management program to ensure compliance with applicable regulations and internal agency directives
- The inspection process is a regulatory requirement
- An inspection is a valuable learning tool and a form of risk mitigation – to records and ultimately to the agency's mission
- Resources to help agencies with their inspections include NARA, outside firms, and the best practices (lessons learned) of other agencies
- The four steps to conduct an inspection are:
  - Planning the inspection
  - Conducting it
  - Writing a report
  - Implementing recommendations and following up

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Participant Guide
January 2017

Knowledge Area 6

Module 3: Records Management Implementation

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
RECORDS MANAGEMENT TRAINING PROGRAM

[This page intentionally left blank.]

Table of Contents

Introduction and Objectives ..... PG 3-1
Overview ..... PG 3-1
Objectives ..... PG 3-2

Lesson 1: Developing a Business Case ..... PG 3-3
Why Do I Need to Make a Business Case for My Records Management Program? ..... PG 3-4
Business Case Elements ..... PG 3-5
What is Included in the Different Elements? ..... PG 3-6
Lesson Summary ..... PG 3-8

Lesson 2: Planning for Implementation ..... PG 3-9
Exploring Options ..... PG 3-10
Determining the Preferred Option ..... PG 3-11
Project Planning ..... PG 3-12
Starting points ..... PG 3-12
As you plan, think about ..... PG 3-13
More planning considerations ..... PG 3-13
Creating and using a requirements specification document ..... PG 3-14
Planning Example – Develop a Records Disposition Schedule ..... PG 3-15
Planning Worksheet ..... PG 3-17
Lesson Summary ..... PG 3-19

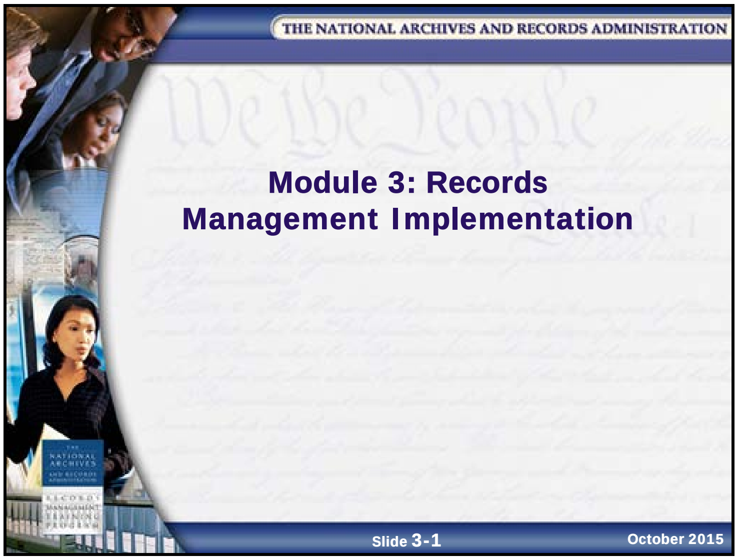
Lesson 3: Resources and Responsibilities ..... PG 3-21
Analyze Your Agency's Needs ..... PG 3-22
Activity: What Are the Needs at the Denver BPR Office? ..... PG 3-24
Resources ..... PG 3-25
Responsibilities ..... PG 3-27
What Are the Responsibilities Related to External Sources? ..... PG 3-28
Why Are There Problems with Using External Sources? ..... PG 3-29
Strategies for Minimizing Problems with External Resources ..... PG 3-31
Activity: Developing a Business Case ..... PG 3-33
Developing a Business Case Worksheet ..... PG 3-35
Lesson Summary ..... PG 3-39

Module 3 Review and Wrap-Up ..... PG 3-41
Overview ..... PG 3-41
Review Activity: KA 6 Next Steps Worksheet ..... PG 3-42
Module Review ..... PG 3-43

[This page intentionally left blank.]

Introduction and Objectives

Slide 3-1



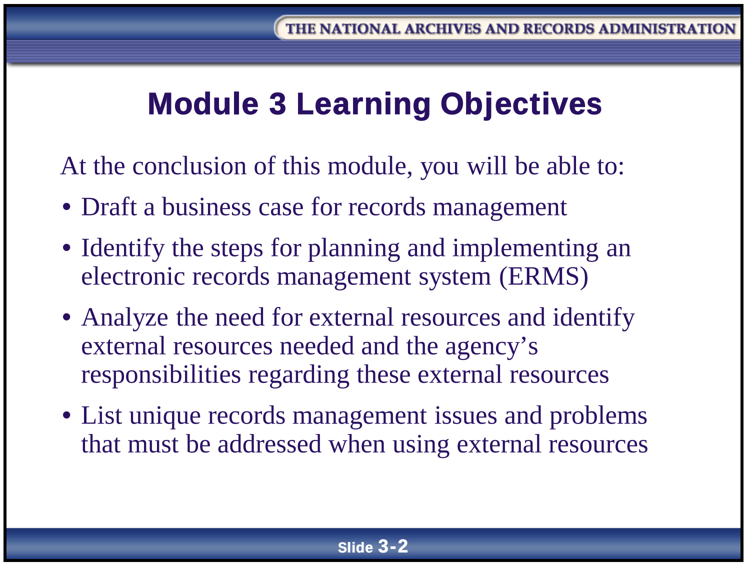
Overview

To have a successful records management program, an agency needs basic resources, such as personnel, to manage the records and places to store the records. This module begins by developing a business case for a records management program. It then focuses on three critical steps in acquiring contractors to support an agency's records management program. In the first step, we look at planning for implementation. In the second, we examine the rationale and steps for obtaining records management resources. The final step focuses on the agency's responsibilities and requirements in using external sources to support a records management program.

NOTES

Objectives

Slide 3-2



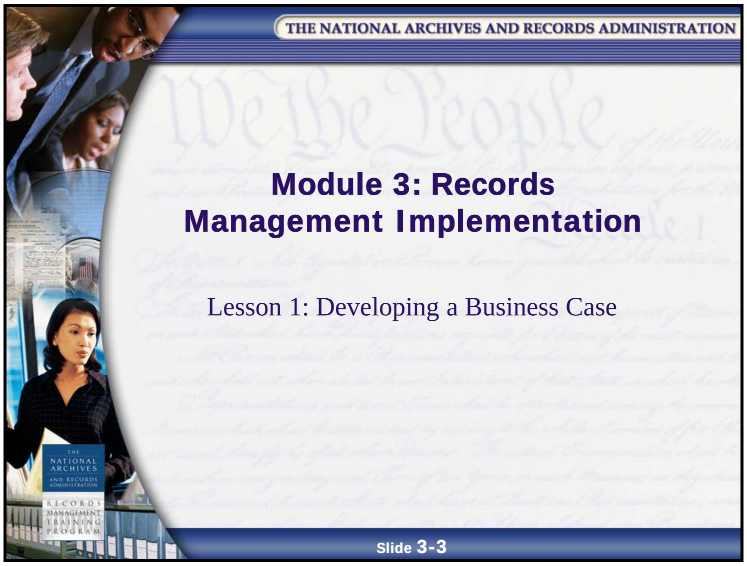
At the conclusion of this module, you will be able to:

- Draft a business case for records management
- Identify the steps for planning and implementing an electronic records management system (ERMS)
- Analyze the need for external resources and identify external resources needed and the agency's responsibilities regarding these external resources
- List unique records management issues and problems that must be addressed when using external resources

NOTES

Lesson 1: Developing a Business Case

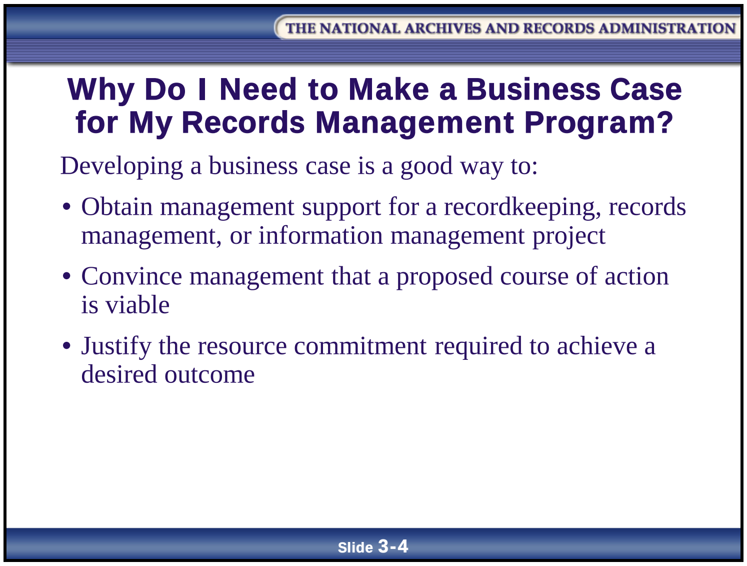
Slide 3-3



NOTES

Why Do I Need to Make a Business Case for My Records Management Program?

Slide 3-4

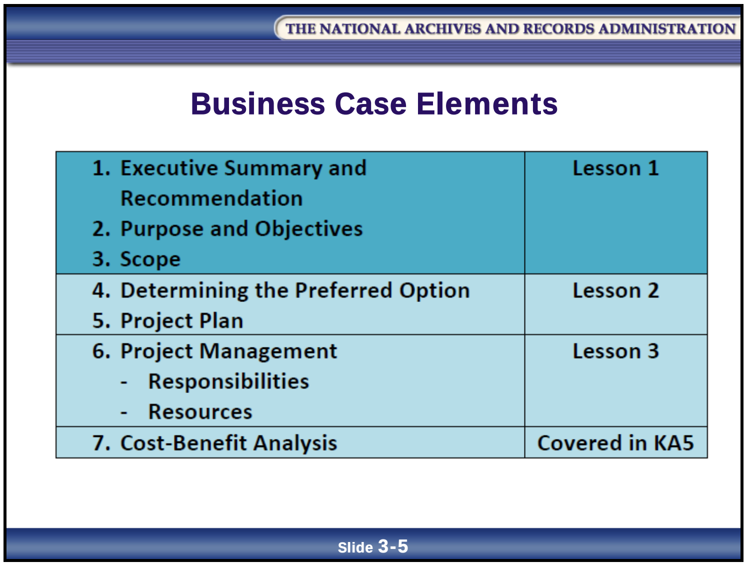


In Module 2, we began looking at how to evaluate the problems with the Denver Bureau of Public Recreation (BPR) Office's records management program. Here, in Module 3, we will use the business case methodology to develop objectives and options to present to management.

NOTES

Business Case Elements

Slide 3-5

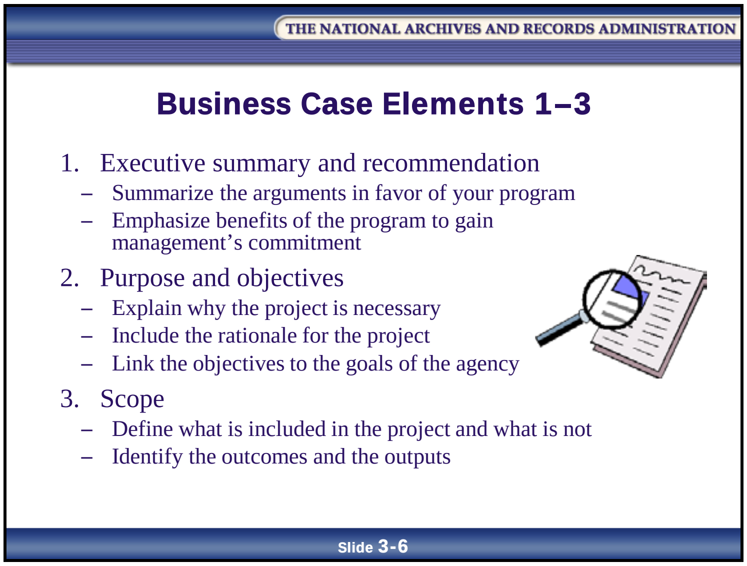


1. Executive summary and recommendation
2. Purpose and objectives
3. Scope
4. Determining the preferred option
5. Project plan
6. Project management
   - Responsibilities
   - Resources
7. Cost-benefit analysis
   - Assumptions
   - Time period
   - Costs
   - Benefits

NOTES

What is Included in the Different Elements?

Slide 3-6



Business Case Elements 1–3

1. Executive summary and recommendation

   In general, the executive summary is the last section to be written once the analysis for the preferred **option** has been finalized. Often, the executive summary will be the first (and maybe the only) section that will be read by management; therefore it should be the most persuasive.

   This section should:

   – Summarize the arguments in favor of your program

   – Emphasize benefits of the program to gain management's commitment

NOTES

2. Purpose and objectives

   The statement of purpose is critical in convincing management of the need for the program. This can be accomplished either by highlighting the current problems or arguing that the agency's goals would be better served by the proposed change(s).

   This section should:

   – Explain why the program is necessary
   – Include the rationale for the project
   – Link the objectives to the agency's goals

3. Scope

   The purpose of the scope is to specify the program parameters.

   This section should:

   – Define what is included in the program and what is not
   – Identify the outcomes and the outputs

NOTES

Lesson Summary

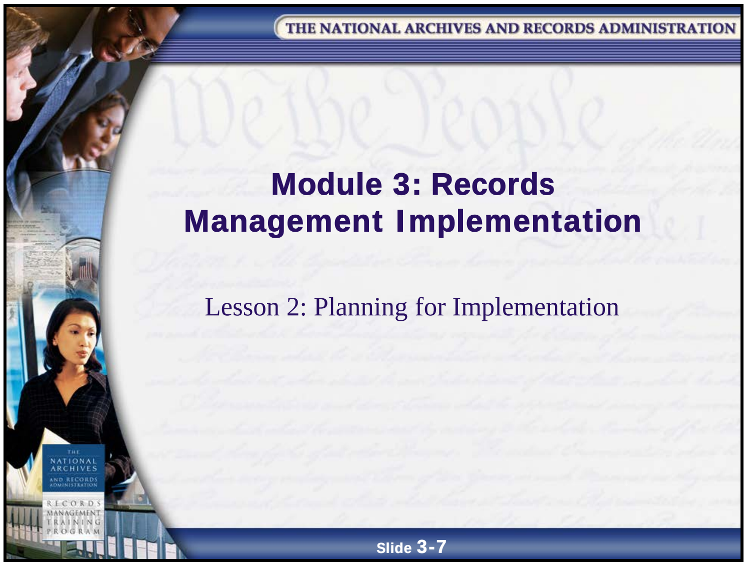
In this lesson, you learned that:

- A business case for records management strives to:
  - Obtain management support
  - Convince management of the viability of a proposed course of action
  - Justify the resource commitment
- The sections within a business plan should include:
  - Executive summary and recommendation
  - Purpose and objectives
  - Scope
  - Determining the preferred option
  - Project plan
  - Project management
  - Cost-benefit analysis
- The executive summary is the most important section of the business case – it is often the *only* section that is actually read

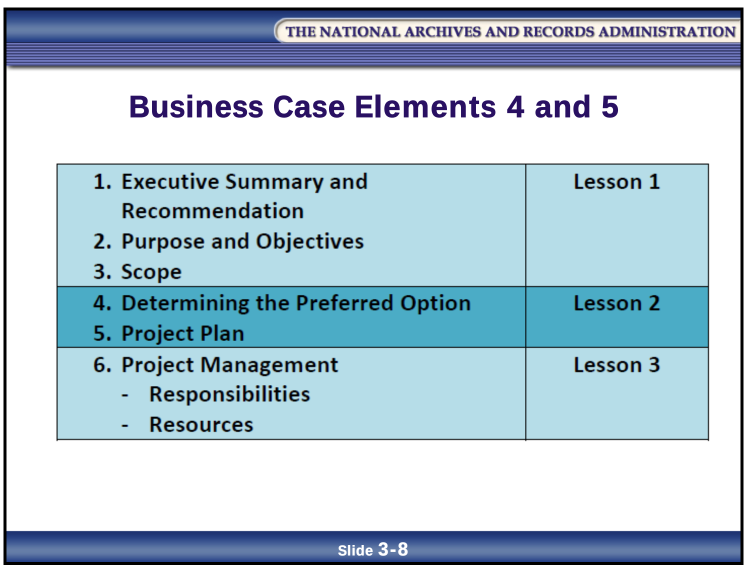
NOTES

Lesson 2: Planning for Implementation

Slide 3-7



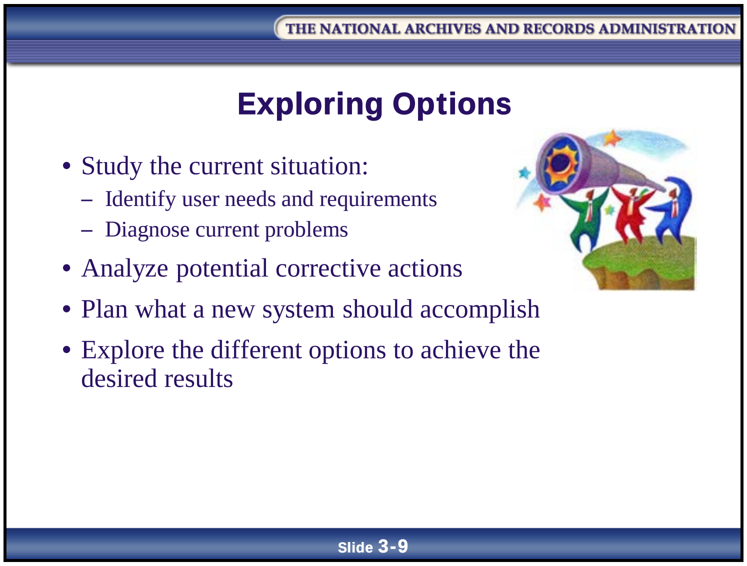
Slide 3-8



NOTES

Exploring Options

Slide 3-9



When an agency is trying to determine the preferred option, it should look first at all the different options available for achieving the desired results. Next, the agency should compare the possible options and describe the advantages and disadvantages of each within the business case document.

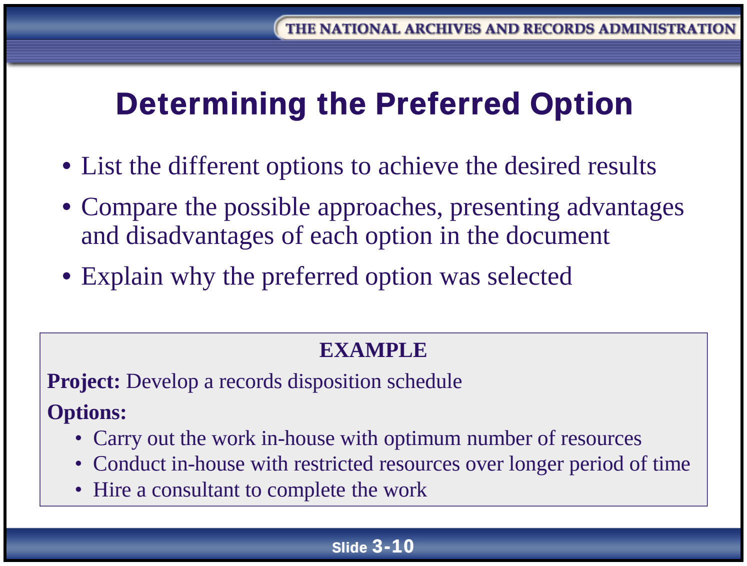
In exploring options, an agency should follow these steps:

- Study the current situation:
  - Identify user needs and requirements
  - Diagnose current problems
- Analyze potential corrective actions
- Plan what a new system should accomplish
- Explore the different options to achieve the desired results

NOTES

Determining the Preferred Option

Slide 3-10

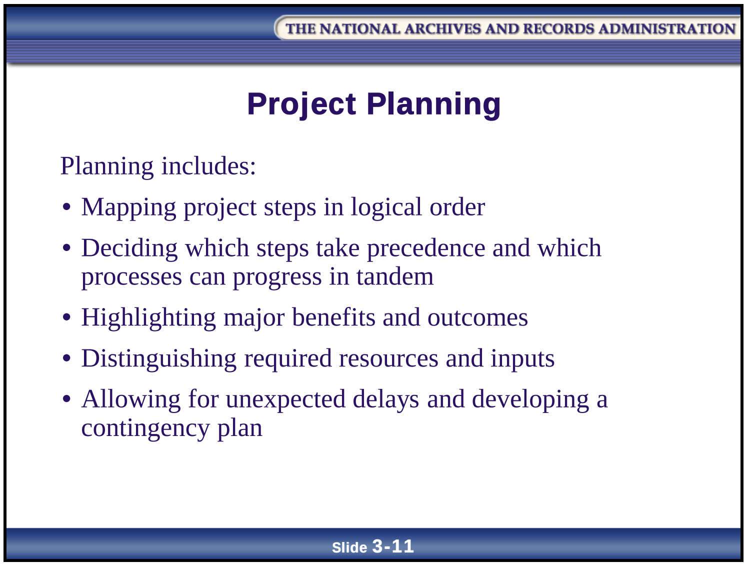


- List the different options to achieve the desired results
- Compare the possible approaches, presenting advantages and disadvantages of each option in the document
- Explain why the preferred option was selected

NOTES

Project Planning

Slide 3-11



Starting points

Planning includes:

- Mapping the steps involved in the project in a logical order
- Deciding which steps take precedence and which processes can progress in tandem
- Highlighting major benefits and outcomes
- Distinguishing the resources and inputs required
- Allowing for unexpected delays and developing a contingency plan

NOTES

As you plan, think about

- Volume: ERMS and Records Management Applications are usually used for large volumes of records
- Relationship to other media: Do these records have to be used with records on other media?
- Records and information usage: Retention periods need to be known
- Legal acceptability and audit trails: These are needed to support legal needs and ensure authenticity
- Ease of maintenance: Cost-benefit analysis is necessary to determine factors involving the cost and ease of maintenance
- Staffing requirements: Imaging, indexing, and quality control may require more staff
- Work process and information flow: Would imaging facilitate or impede the work flow?
- Verification of signatures: Will the system need digital signature technology?
- Image requirements: Resolution, compression, and indexing will depend on how images are used
- Document preparation: This involves ease of document preparation and version control
- Quality control issues: Assess ability to perform quality control checks against established requirements
- Condition of original records: How easily can they be migrated into the automated system?
- In-house preparation versus contracting: Should internal or external resources be used?
- Indexing requirements: How will users access the images?
- Permanent records: How will permanent records be maintained and ultimately transferred to the National Archives?

More planning considerations

- Identify problems and business objectives and determine how automation might help achieve these objectives
- These are the minimum requirements to investigate:
  - Technical requirements
  - Functional requirements
  - User requirements

NOTES

Creating and using a requirements specification document

- Use the requirements cited in the DoD 5015.2 standard as a starting point and add additional agency requirements
- Include a detailed listing of functions needed and address:
  - Document management (imaging, version control, email, indexing, retrieval, etc.) and records management (disposition, frozen record)
  - Legal and regulatory requirements (public key infrastructure, Electronic Freedom of Information Act, etc.)
  - System architecture
- Compare each software product to the needed capability. Knowing the vendor's ability to address each need will be critical in evaluating the features and function. Some overlapping of functionality between various vendors' products will occur, but generally only some of these products will best suit the organization's needs.
- Once all the information is received and a decision is made, the document can be used in the software procurement and implementation stage

Note: Agencies may choose to make automation one of the elements planned for in the planning process.

For more information on automation, see **Handout 3.01** – Automation, located in the Handouts section of your Participant Guide.

In addition, automation was covered in more detail in the KA 2 course.

NOTES

Planning Example – Develop a Records Disposition Schedule

Slide 3-12

Tasks	Task Order	Benefits and Outcomes Expected	Resources and Inputs Required
Inventory records	1	Be in compliance – be able to dispose of records properly	Staff and external resources Management support Microsoft Access or other inventory tool
Conduct a risk analysis	2	Be in compliance – be able to dispose of records properly	Get support from: • Legal • Management • Program staff
Do a business analysis	3	Be in compliance – be able to dispose of records properly	Get support from: • Legal • Management • Program staff

NOTES

Table 3-2: Sample Records Disposition Schedule

Tasks	Task Order	Benefits and Outcomes Expected	Resources and Inputs Required
Inventory records	1	Be in compliance – be able to dispose of records properly	Staff and external resources Management support Microsoft Access or other inventory tool
Conduct a risk analysis	2	Be in compliance – be able to dispose of records properly	Get support from: • Legal • Management • Program staff
Do a business analysis	3	Be in compliance – be able to dispose of records properly	Get support from: • Legal • Management • Program staff

NOTES

Planning Worksheet

This is an example of a worksheet you could use when you draft a project management plan (as part of your records management business case).

Table 3-3: Planning worksheet showing tasks in order of priority along with the benefits and inputs required for each

Task	Task Order	Benefits and Outcomes Expected	Resources and Inputs Required
	1.		
	2.		
	3.		
	4.		
	5.		

[This page intentionally left blank.]

Lesson Summary

In this lesson, you learned that:

- The planning stage of your business case includes selecting the preferred option and planning for it
- The steps in determining the preferred option include:
  - Listing all potential options to achieve the desired results
  - Comparing the possible approaches
  - Explaining your rationale for selecting the preferred option
- The steps in planning include:
  - Mapping all the steps
  - Listing benefits and outcomes and resources and inputs required
  - Developing a contingency plan

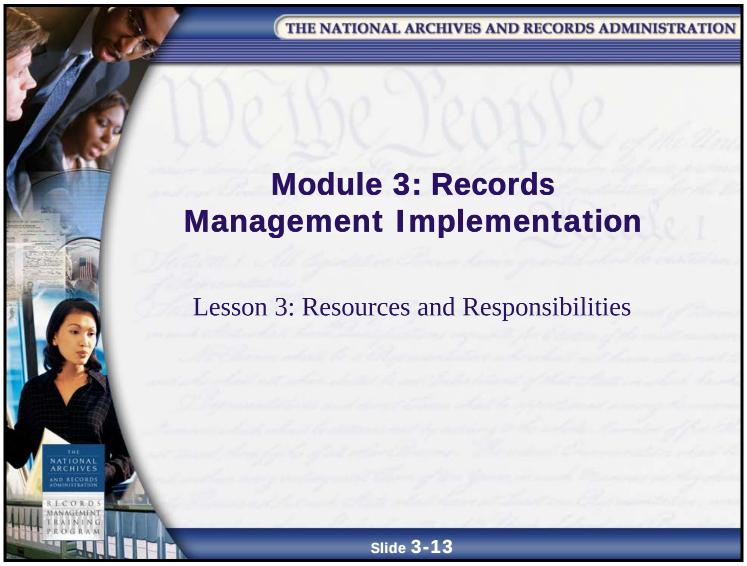
NOTES

[This page intentionally left blank.]

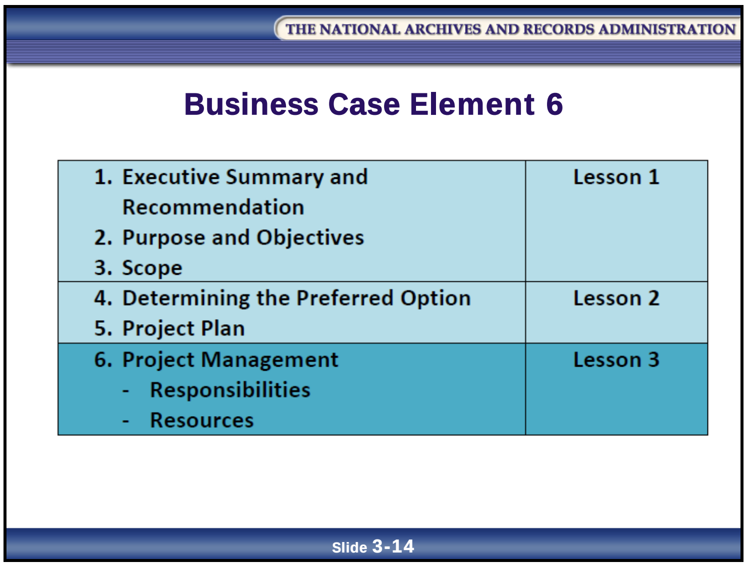
NOTES

Lesson 3: Resources and Responsibilities

Slide 3-13



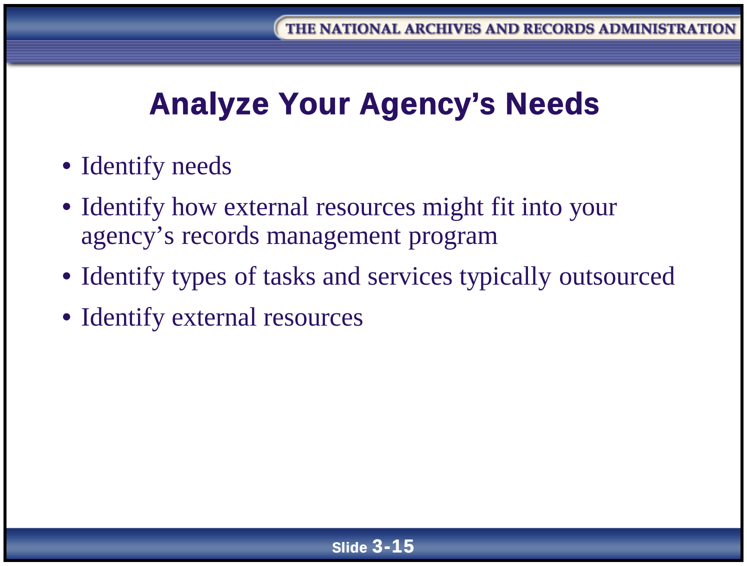
Slide 3-14



NOTES

Analyze Your Agency's Needs

Slide 3-15



It is important to analyze your agency's needs before making critical records management decisions.

- Identify needs that would require using external resources for recordkeeping processes or procedures:
  - Staffing
  - Time line and deadline requirements
  - Mandates from Congress with tight time frames
  - Responses to NARA inspection
- Identify how external resources might fit into your agency's records management program:
  - In ongoing tasks and services
  - In one-time projects or products

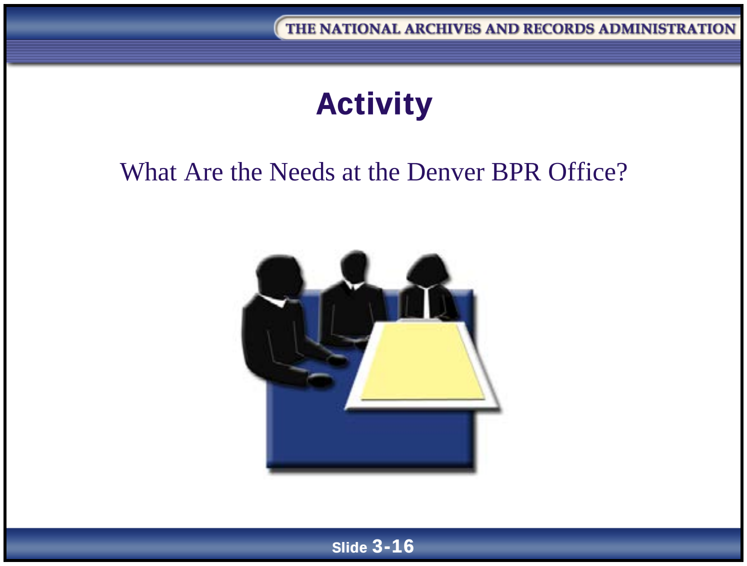
NOTES

- Identify types of tasks and services typically outsourced:
  - Records storage
  - Records management training
  - Records inventory
  - Records management program development
  - Records management program implementation and ongoing support
- Identify external resources:
  - Commercial vendors
  - Private consultants
  - NARA
  - Other Federal agencies

NOTES

Activity: What Are the Needs at the Denver BPR Office?

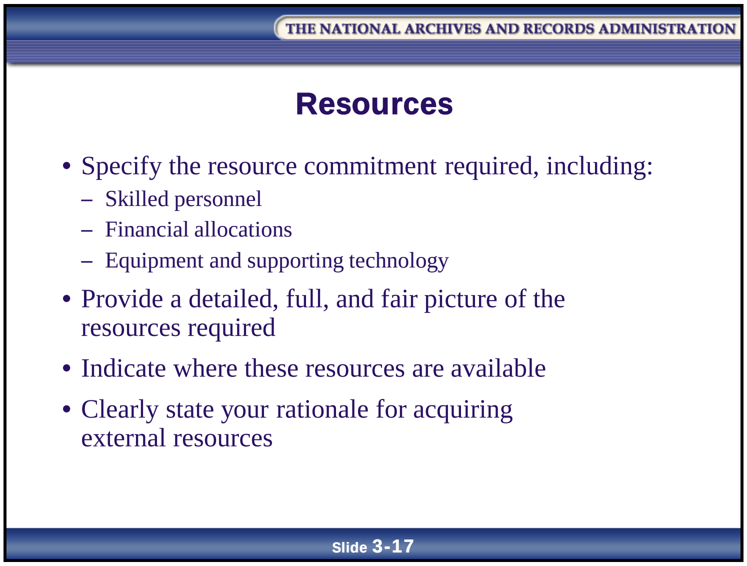
Slide 3-16



NOTES

Resources

Slide 3-17



Specify the resource commitment required. This includes skilled personnel, financial allocations, equipment, and supporting technology. Consider what resources are needed for each program component.

Management accepts that programs (or projects) need resources. Provide a detailed, full, and fair picture of the resources required. A false or "rosy" underestimate could jeopardize the program in the long term. Maintain the program's credibility: Be realistic, not optimistic or simplistic.

The types of skills and experience required in the project team are diverse. A project involves project management skills and conceptual and analytical skills as well as practical and operational skills. A project also draws on the experience of stakeholders, such as interviewing operational staff in other business areas. Indicate where these resources are available. These areas can include elements of program budgets or personnel that can be redirected toward the achievement of project objectives. When it is possible to undertake the proposed project and deliver the desired benefits within the resource and skill base available, this option should be stressed. However, when it is necessary to acquire resources or skills externally, this option should be clearly stated.

NOTES

Management is more likely to endorse the allocation of financial resources to a program if the predicted return on the investment (benefits minus costs) is persuasive.

Note: As noted previously, agencies may choose to store their records at sites outside their physical building(s).

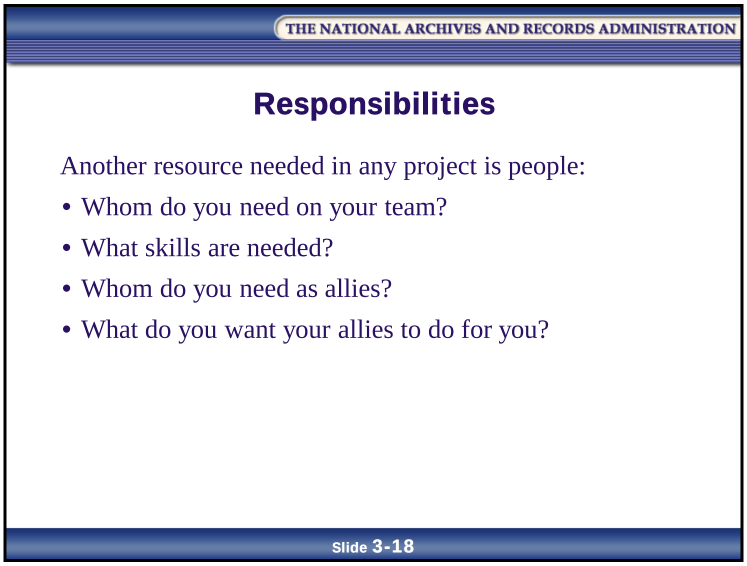
For more information on standards and regulations related to records storage, see **Handout 3.02 –** Standards for Storage of Federal Records, located in the Handouts section of your Participant Guide.

Additionally, records storage was covered in more detail in the KA 4 course.

NOTES

Responsibilities

Slide 3-18



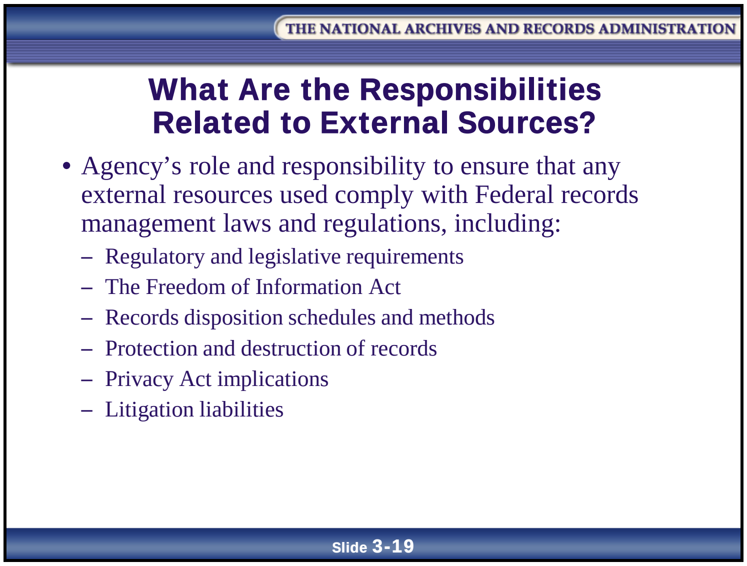
Another resource needed in any project is people. You should consider the following questions:

- Whom do you need on your team?
- What skills are needed to work on your project?
- Whom do you need as allies?
- What do you want your allies to do for you?

NOTES

What Are the Responsibilities Related to External Sources?

Slide 3-19



Agencies are liable for recordkeeping compliance, regardless of the external resources used. Agencies must ensure that appropriate language is built into the contract, along with appropriate performance metrics to ensure compliance. Federal contractors must adhere to all Federal records management regulations – but how do you ensure that they are complying? What types of issues might arise from using external resources, and how can you mitigate the potential risks?

Agency's Role and Responsibility

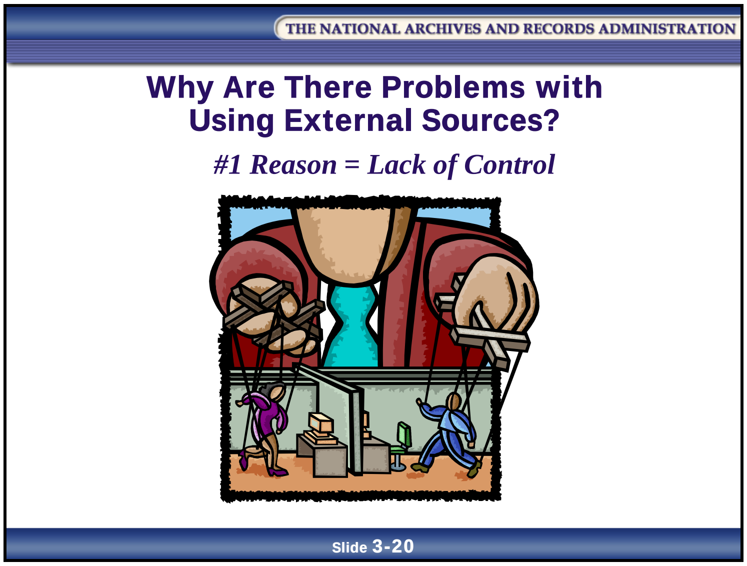
It is your agency's role and responsibility to ensure that any external resources used comply with Federal records management laws and regulations, including:

- Regulatory and legislative requirements
- The Freedom of Information Act
- Records disposition schedules and methods
- Protection and destruction of records based on security classification
- Privacy Act implications
- Litigation liabilities

NOTES

Why Are There Problems with Using External Sources?

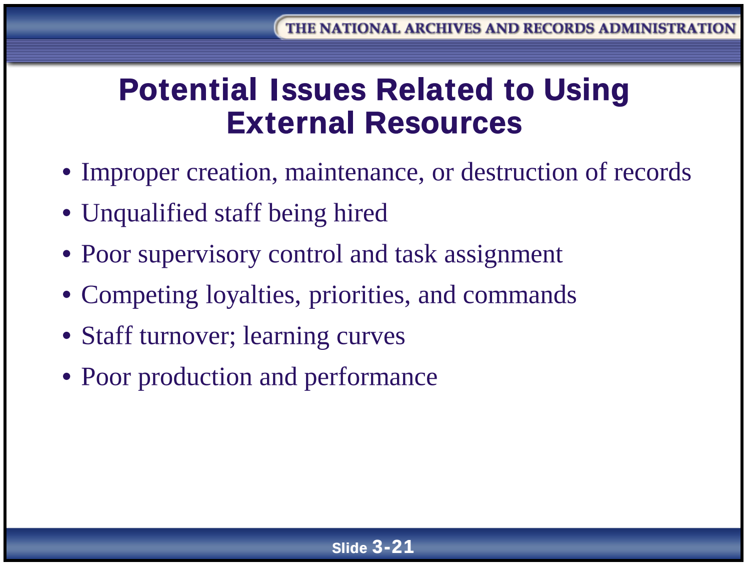
Slide 3-20



When agencies hire external resources (e.g., an outside contractor), they inevitably give up a good deal of control over the day-to-day process. This lack of control can lead to many different types of problems.

NOTES

Slide 3-21



Potential Issues Related to Using External Resources

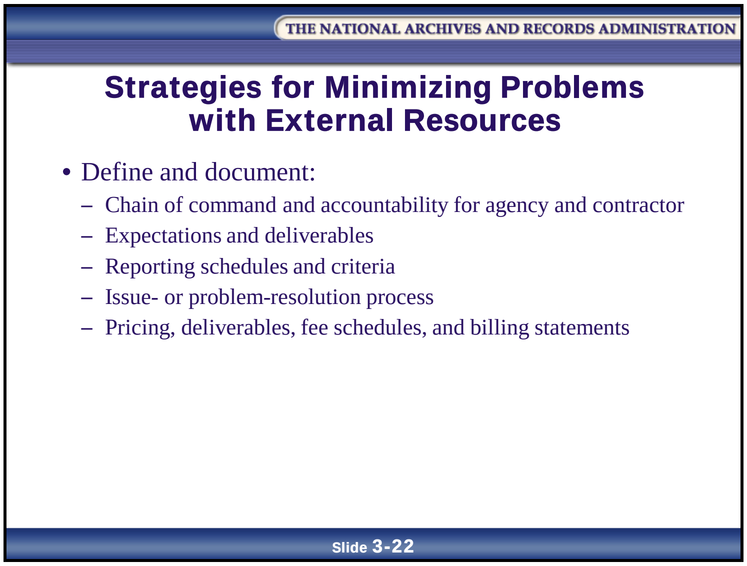
Problems that could arise from using external resources for labor and personnel for records management include:

- Agency or business process unfamiliarity causing decisions that lead to improper creation, maintenance, or destruction of records
- Unqualified staff because of limited control over hiring practices or verification of skills
- An inadequate reporting structure that causes a lack of direct supervisory control and task assignment
- Competing loyalties, priorities, and commands (i.e., what happens when the agency staff you work with every day ask you to do something or switch priorities, but the vendor company has other ideas?)
- Limited control over staff turnover and learning curves
- Poor production and performance, including deliverable times not met or low-quality services

NOTES

Strategies for Minimizing Problems with External Resources

Slide 3-22

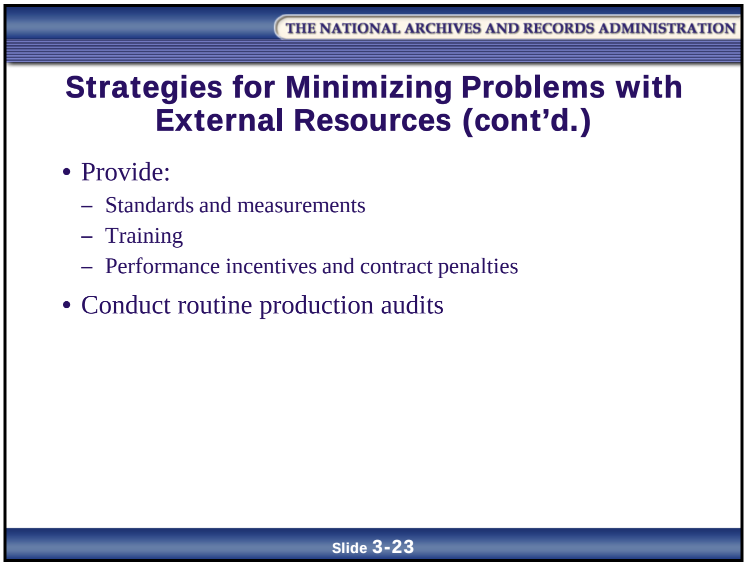


Strategies for minimizing problems and overseeing external resources used for records management include defining and documenting:

- Chain of command and accountability for both agency and contractor personnel
- Expectations and deliverables
- Detailed reporting schedules and criteria
- Issue- or problem-resolution process
- Pricing, deliverables, fee schedules, and billing statements

NOTES

Slide 3-23



Provide:

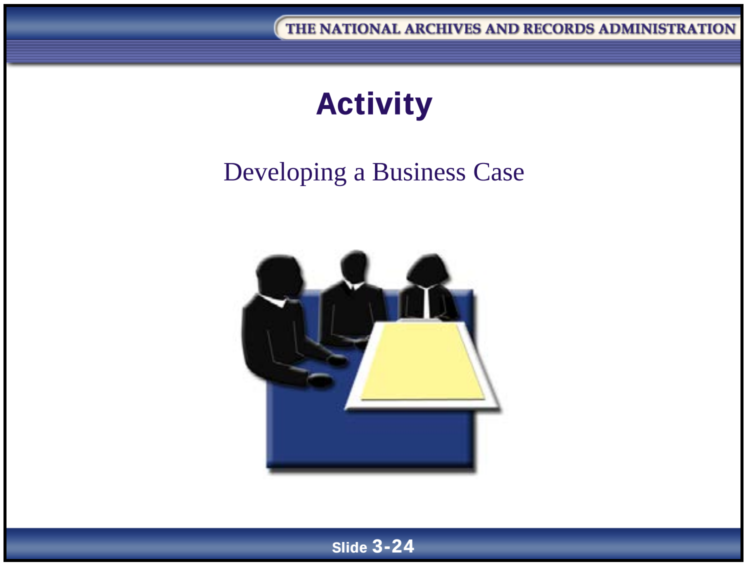
- Standards and measurements
- Training for external resources
- Performance incentives and contract penalties

Conduct routine production audits.

NOTES

Activity: Developing a Business Case

Slide 3-24



NOTES

[This page intentionally left blank.]

NOTES

Developing a Business Case Worksheet

(page 1 of 4)

Purpose: This activity's goal is to develop a business case for the Denver BPR Office. There is not enough time during this workshop to complete a full business case document, so you will need to develop a case for only *one* need.

Note: This worksheet is set up differently from the other worksheets you have used in the KA 6 course. Each section (e.g., Scope) begins with an explanation (or definition) of what is included in that element and has an area for you to complete your task for that element.

Directions: For each business case section (or element):

- Review the purpose section, as needed
- Complete the "Your Task" bullet(s) to draft language for the specific Denver BPR Office need that your group selected
- Record your answers on an easel chart

Purpose and Objectives

Purpose of this business case section:

- Explain why the project is necessary
- Include the rationale for the project (i.e., describe the current problem)
- Ensure that the objectives are clearly linked to the goals of the business case

Your task:

- Write a statement of purpose explaining why this solution is needed and write one or two goals or objectives for this project
  - Tip: You may want to review the results of the goals activity in Module 1 (Making Goals SMART from slide 1-17) to help you

Developing a Business Case Worksheet (page 2 of 4)

Scope

Purpose of this business case section:

- Define what is included in the project and what is not
- Identify the outcomes that are sought and the outputs to be produced

Your task:

- List (or explain) what is included in the project and what is not included
- Identify the expected outcomes

Developing a Business Case Worksheet (page 3 of 4)

Preferred Option

Purpose of this business case section:

- List the different options to achieve the desired results
- Compare the options – present the advantages and disadvantages of each option
- Explain why the preferred option was selected

Your task:

- Identify at least two different options that may solve the need or problem
- List a few advantages and disadvantages of each option
- Select the best option and explain why you selected it
  - **Note:** If time permits, explain why staying with the status quo will not work

Developing a Business Case Worksheet (page 4 of 4)

Resources Needed

Purpose of this business case section:

- Specify the resource commitment required, including:
  - Skilled personnel
  - Financial allocations
  - Equipment and supporting technology
- Indicate where these resources are available
- State your rationale for acquiring external resources

Your task:

- List the needed resources (e.g., budget, staff, equipment, etc.) for this need

Lesson Summary

In this lesson, you learned that:

- It is important to analyze your agency's need for resources before planning for implementation by:
  - Identifying needs
  - Identifying the roles and uses of external resources
- Your business plan should include a detailed picture of the resources required to support your efforts
- Assigning and managing responsibilities is part of the project management of your records management program
- If agencies use external resources, they still:
  - Must protect Federal records from threats such as fire, theft, natural disasters, and water damage
  - Are liable for recordkeeping compliance regardless of the external resources used
  - Must ensure that appropriate language and performance metrics are built into the contract to ensure compliance

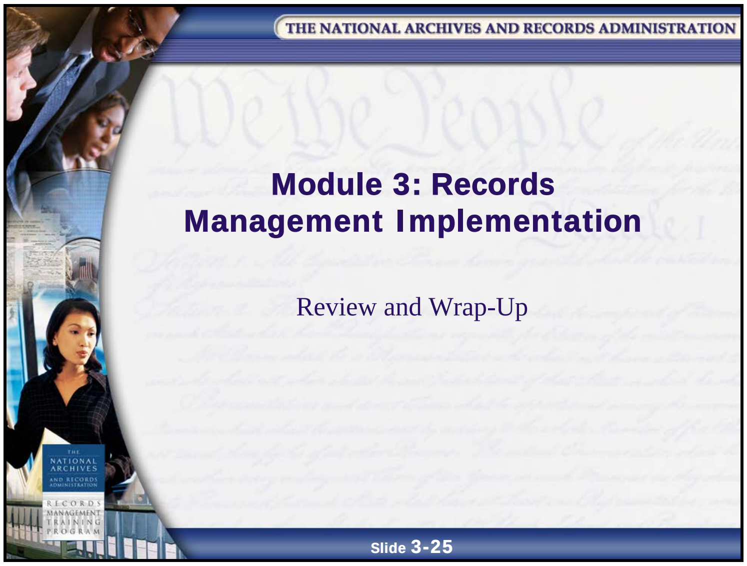
NOTES

[This page intentionally left blank.]

NOTES

Module 3 Review and Wrap-Up

Slide 3-25

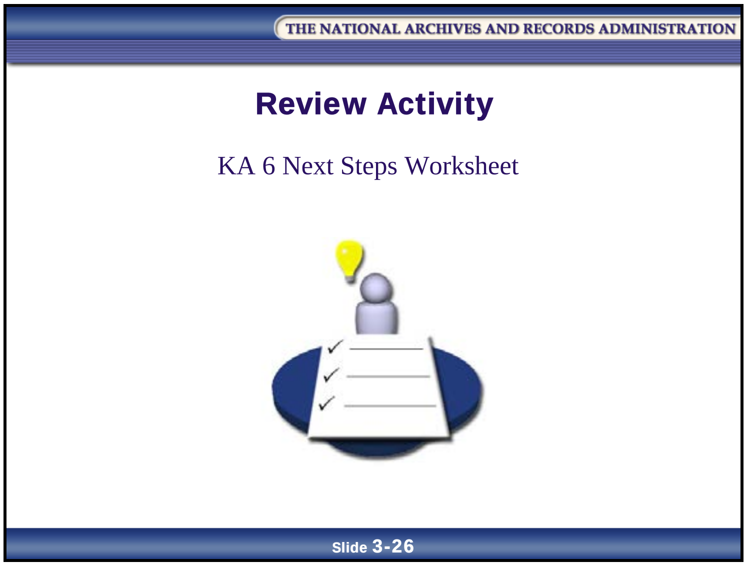


Overview

NOTES

Review Activity: KA 6 Next Steps Worksheet

Slide 3-26



NOTES

Module Review

Slide 3-27

In Module 3, you learned about developing a business case for records management:

- A business case aims to secure management support for a proposed course of action
- The executive summary is usually seen as the most important section in any business plan
- The business plan should identify:
  - All potential options to achieve the desired results
  - Your rationale for selecting the preferred option
  - A detailed picture of the resources needed
- Agencies should:
  - Analyze their need for external resources before planning for implementation
  - Remember that they are liable for recordkeeping compliance, regardless of the external resources used

NOTES

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Participant Guide
January 2017

Knowledge Area 6

Module 4: Records Management Training

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
RECORDS MANAGEMENT TRAINING PROGRAM

[This page intentionally left blank.]

Table of Contents

Introduction and Objectives .... PG 4-1
Overview .... PG 4-1
Objectives .... PG 4-2

Lesson 1: Effective Training .... PG 4-3
Purpose of Training .... PG 4-4
Benefits of Records Management Training .... PG 4-6
Effective Training is… .... PG 4-7
Training Needs Assessment (TNA) and Learning Objectives .... PG 4-7
Learning Styles .... PG 4-8
Interactivity .... PG 4-8
Application in Work Environment .... PG 4-8
What Training Does Your Staff Need? .... PG 4-9
Who Provides Training? .... PG 4-11
Agency Training .... PG 4-11
NARA Training .... PG 4-11
Lesson Summary .... PG 4-12

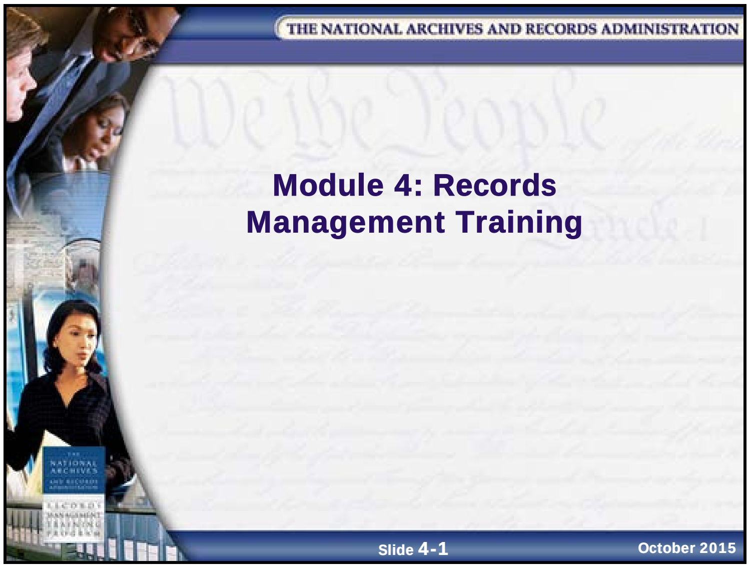
Lesson 2: Training Delivery and Evaluation .... PG 4-13
An Effective Trainer… .... PG 4-14
Modes of Delivery .... PG 4-15
Delivery Modes Pros and Cons .... PG 4-16
Delivery Modes – Pros and Cons .... PG 4-17
Blended Learning .... PG 4-19
Activity: Analyzing Records Management Training Options .... PG 4-21
Analyzing the Training Options Worksheet .... PG 4-23
Evaluating Training .... PG 4-25
What Affects the Outcomes? .... PG 4-26
Training Evaluation Models and Theories .... PG 4-26
Lesson Summary .... PG 4-27

Module 4 Review and Wrap-Up .... PG 4-29
Overview .... PG 4-29
Review Activity: KA 6 Next Steps Worksheet .... PG 4-30
Module Review .... PG 4-31

[This page intentionally left blank.]

Introduction and Objectives

Slide 4-1

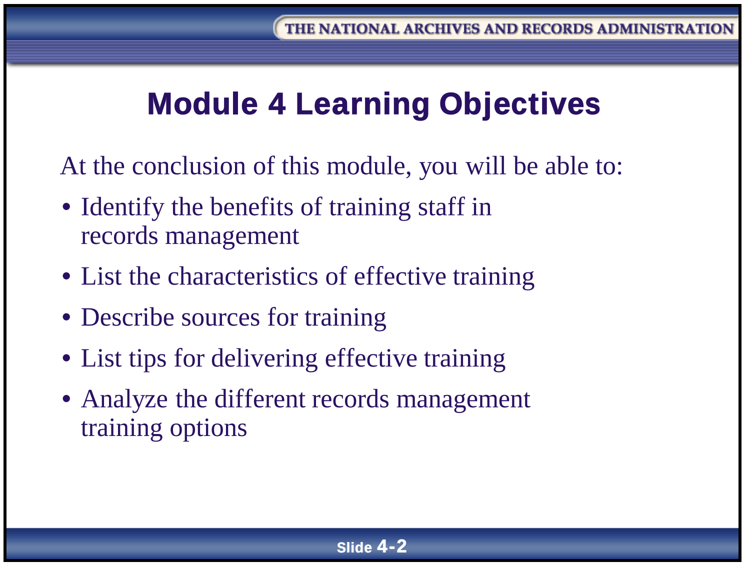


Overview

As we have seen throughout this course, an effective records management program depends on many different components. This next component, training, is the focus of this module. Module 4 provides the basis for establishing an effective records management training program. It focuses on the issues that need to be addressed and the processes that must be undertaken before training can occur. It also reviews those actions that need to be taken after the training is completed, such as evaluation.

Objectives

Slide 4-2

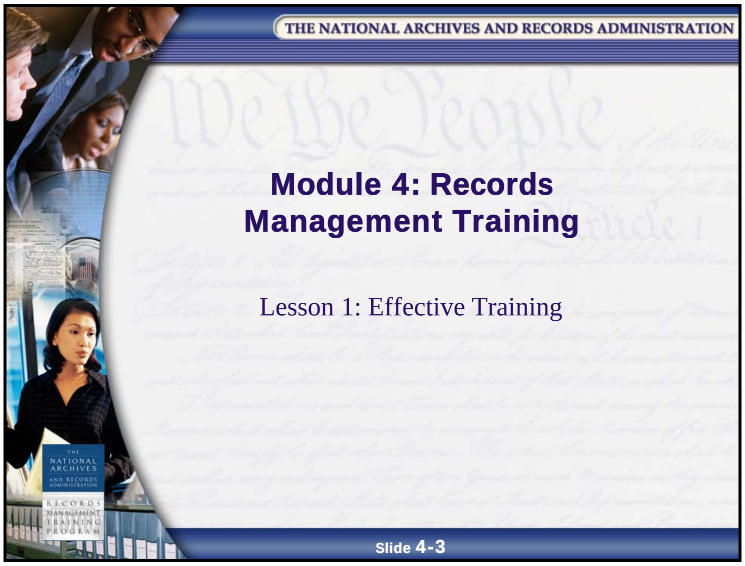


At the conclusion of this module, you will be able to:

- Identify the benefits of training staff in records management
- List the characteristics of effective training
- Describe sources for training
- List tips for delivering effective training
- Analyze the different records management training options

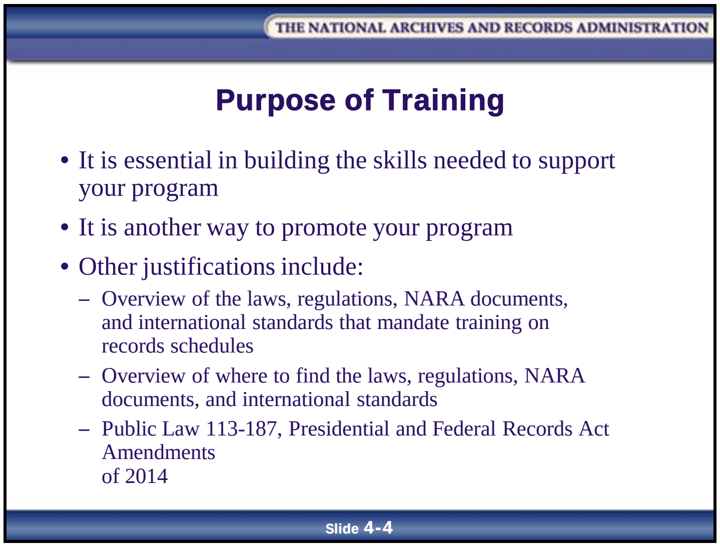
Lesson 1: Effective Training

Slide 4-3



Purpose of Training

Slide 4-4



Training is important for a number of reasons.

The primary goal of any training course, whether it is records management or cake decorating, is to increase the participants' skills and knowledge. First, your agency's staff needs to *know* the rules, regulations, and processes for supporting an effective records management program. Second, staff needs to be taught the skills to support your program.

Another reason for training is that it can serve as a promotional tool for your program. As you are advertising your training sessions, you are essentially advertising your entire records management program.

Finally, the requirement for records management training is contained in 44 U.S.C. 2901(2), Records Management, which states:

> "The planning, controlling, directing, organizing, **training,** promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition..."

36 CFR 1220.34: What must an agency do to carry out its records management responsibilities?

- To carry out the responsibilities specified in 44 U.S.C. 3101 and 3102, agencies must:
  - 1220.34(f) Provide guidance and training to all agency personnel on their records management responsibilities, including identification of Federal records, in all formats and media

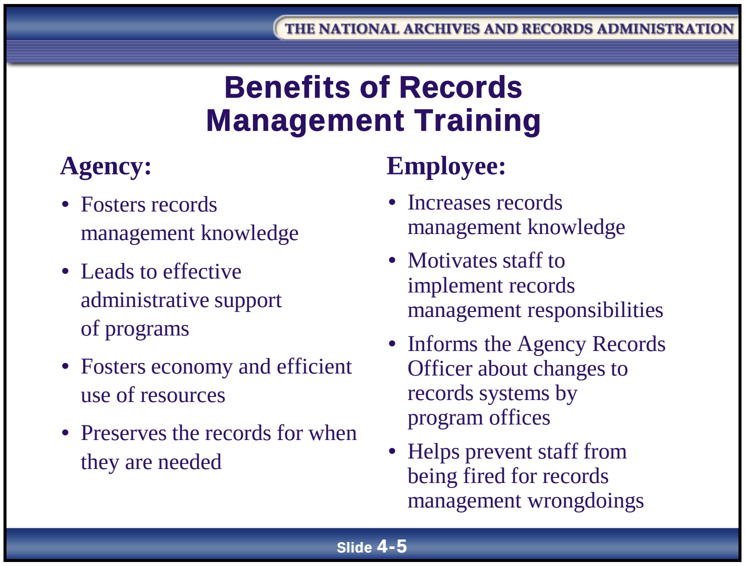
36 CFR 1222.24: How do agencies establish recordkeeping requirements?

- 1222.24(b) states: "Agencies must provide the training described in 1220.34(f) of this subchapter and inform all employees that they are responsible and accountable for keeping accurate and complete records of their activities"

Training is even more important now that both houses of Congress passed H.R. 1233, the Presidential and Federal Records Act Amendments of 2014, particularly the modernized language in Section 3106 – Unlawful Removal and Destruction of Records.

Benefits of Records Management Training

Slide 4-5



For the Agency:

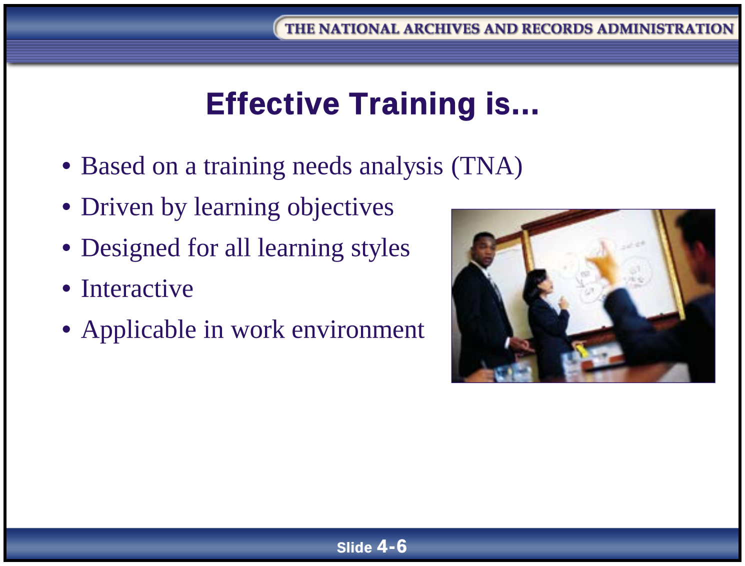
- Fosters records management knowledge
- Leads to effective administrative support of programs
- Fosters economy and the efficient use of resources
- Preserves the records by guarding against loss of record content and physical deterioration

For the employee:

- Increases records management knowledge
- Motivates staff to implement records management responsibilities
- Informs the Agency Records Officer about changes to records systems by program offices
- Helps prevent staff from being fired for records management wrongdoings

Effective Training is...

Slide 4-6



A number of components make training effective, and these components are present before, during, and after the training intervention.

Training Needs Assessment (TNA) and Learning Objectives

Before the training: A TNA should be conducted, and learning objectives should be written, based on the TNA outcomes.

During the training: The instructor should ensure that the participants are involved in the learning activities and that they can apply what they have learned during the course.

After the training: An assessment or evaluation should be conducted to assess the training course’s success.

Learning Styles

Courses should be designed and delivered to take into account that different people learn in different ways. One way for a course designer to do this is by including a variety of activities that will appeal to the learning styles of different participants. For example, not everyone learns best from small-group work; a course should also include activities in which the participants can work on their own.

Two popular learning style theories are:

- VAK model
- Myers-Briggs Type Indicator and learning styles

See **Handout 4.01 –** Popular Learning-Style Theories in the Handouts section of your Participant Guide (PG) for more information on these theories.

Interactivity

Courses should be designed and delivered to involve the participants in the learning process. This is often done by providing activities for the participants or asking questions throughout a training course.

A good rule of thumb is the 75/25 Rule:

- 75 percent of the total learning time = providing content to the participants through lecture, discussions, and questions
- 25 percent of the time = applying learning (through discussions or activities)

Application in Work Environment

There are several methods to use to make sure the learning can be applied in the work environment.

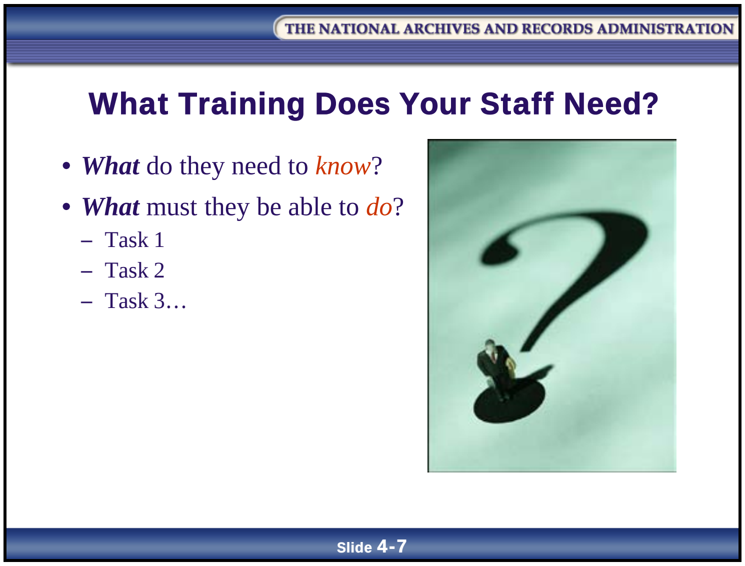
First, the course design (again) should be based on the training needs analysis (TNA).

Second, the participants should actually complete in the training session (if possible) activities that they will do on the job, such as filling out a form.

Third, the instructor can ask the participants about application back in their work environment, which will help the participants link what they learned to the real world.

What Training Does Your Staff Need?

Slide 4-7



Purpose of Learning Objectives

Before you determine what training is needed (e.g., a specific training course), you should determine the learning objectives.

Learning objectives are important because they:

- Articulate the training goal:
  - What new skills will result from the training course?
- Communicate intent to the participants:
  - Why should I attend this training?
  - What outcomes will result?
- Provide a means for evaluation:
  - Objectives establish a means for measuring the degree to which a participant has acquired the desired knowledge or skill
- Assist in selection of materials, content, and methods

Learning objectives are usually written based on the outcomes of the training needs analysis (TNA).

What do your participants need to be able to do?

Task 1 ____________________________________

Task 2 ____________________________________

Task 3 ____

Task 4 ____

Task 5 ____

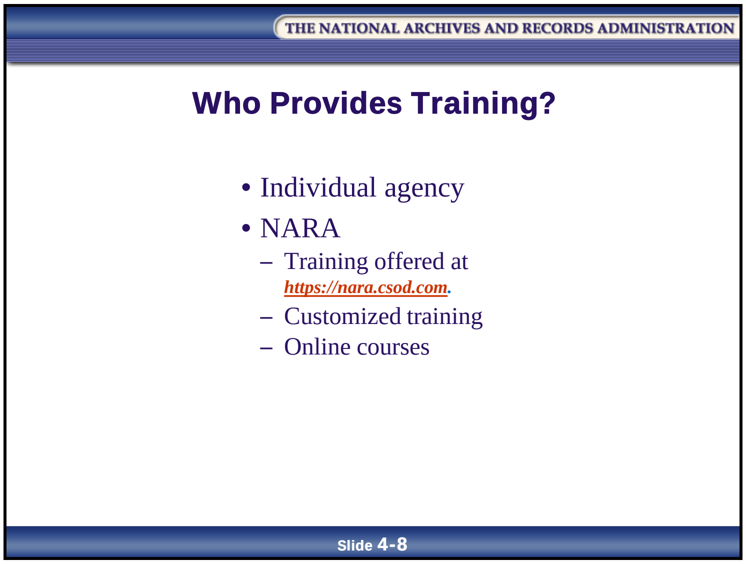
Task 6 ____

Task 7 ____

Task 8 ____

Who Provides Training?

Slide 4-8



Agency Training

An individual agency can develop its own training program. Many resources are available through NARA that may be helpful in developing program content.

Be sure to identify and use the existing training infrastructure of your agency. Partner with your agency HR and training staff to develop and conduct records management training. Also, refer to NARA Bulletin 2017-01: Agency Records Management Training Requirements at *https://www.archives.gov/records-mgmt/bulletins/2017/2017-01-html*

NARA Training

- NARA provides a full range of training both in Washington, DC, and at regional facilities nationwide

To see what training is offered, and to learn about the NARA Certificate of Records Management, you can visit NARA's Learning Center at: *https://nara.csod.com.*

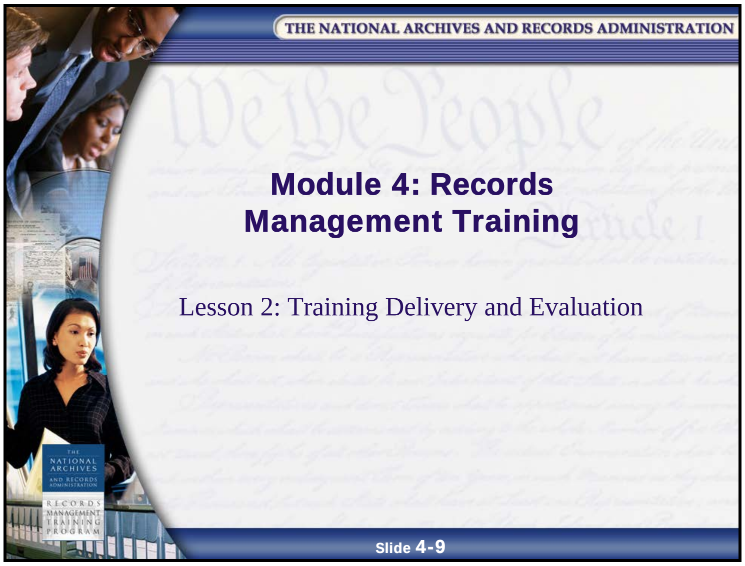
Lesson Summary

In this lesson, you learned that:

- The primary goal of training is to help build the knowledge and skills needed to support your program
- There are many benefits in providing training, including:
  - Leading to effective administrative support of programs
  - Motivating staff to implement records management responsibilities
  - Fostering economy and the efficient use of resources
- Effective training is interactive, designed for all learning styles, and applicable to the work environment
- Training programs may be provided by NARA and developed by your agency (using resources from NARA and other agencies)

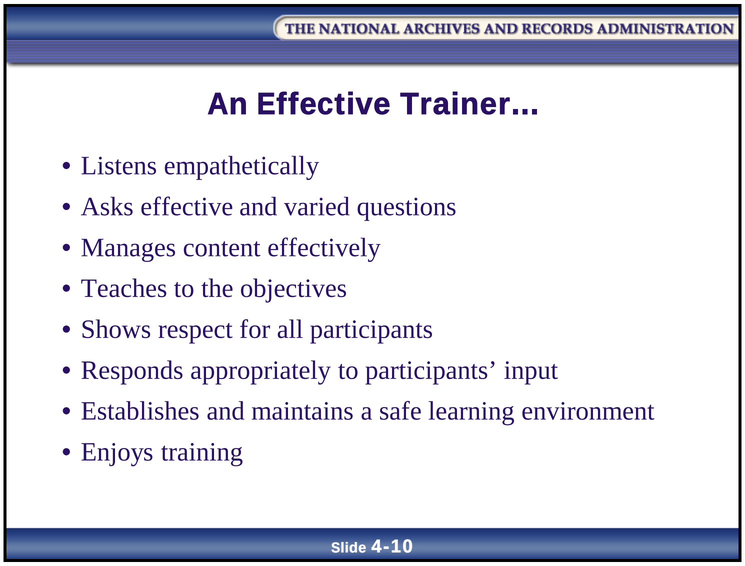
Lesson 2: Training Delivery and Evaluation

Slide 4-9



An Effective Trainer…

Slide 4-10



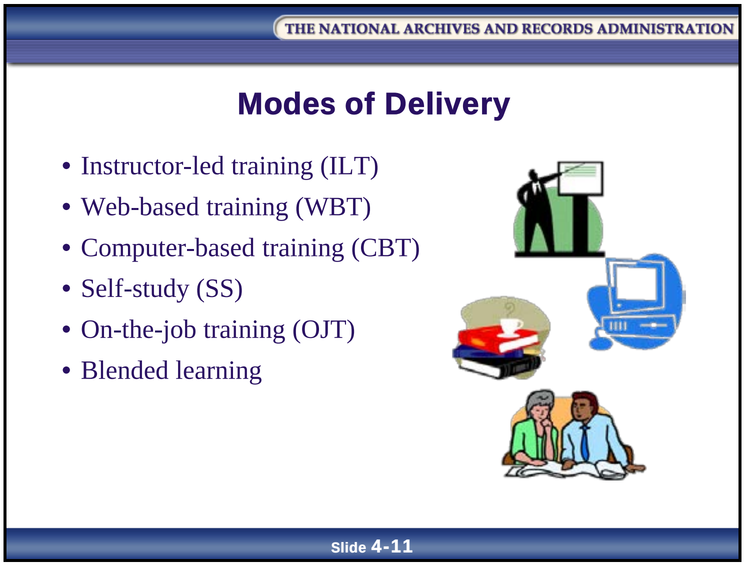
An effective trainer must be able to teach to the objectives, manage the course materials, and respect all the participants while maintaining a safe learning environment so that the participants can learn. In addition, it is important that the trainer enjoy teaching. There is nothing worse than attending a course where the trainer is not interested in being there!

See **Handout 4.02** – Training Delivery Tips in the Handouts section of your PG for helpful hints on responding to the participants, including:

- Establishing and Maintaining an Effective Learning Environment
- Tips for Handling Participants' Answers
- Tips for Managing Questions from the Participants

Modes of Delivery

Slide 4-11



Delivery Modes Pros and Cons

Slide 4-12

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Delivery Modes Pros and Cons

Delivery Mode	Pros	Cons
ILT	• Socialization – Participants able to interact with instructor and other participants • Instructor can adjust pace or content based on participants' feedback or body language and facial expression	• Resources issues include time away from job, travel expenses, limited space
WBT and CBT	• It saves in travel costs • It can be conducted in real time OR accessed 24 hours a day • It can offer content customized for the individual	• It is viewed as an impersonal medium • Administration can be difficult • Some topics can't be taught online • Participants must be comfortable with the use of technology
SS	• The learning is self-paced • It can deliver results speedily and inexpensively	• No socialization – participants are denied the opportunity of learning from each other • It requires disciplined participants
OJT	• Participants receive immediate feedback during work • The learning takes place in a familiar environment	• One-to-one training is expensive • Instructors need subject matter expertise *and* training skills

Slide 4-12

Delivery Modes – Pros and Cons

Table 4-2: Pros and Cons of Instructor-Led Training (ILT)

PROS	CONS
• Participants interact with instructor • Participants interact with other participants • ILT provides a sense of community • Some activities and topics are difficult to learn online • It is not as costly (or as time consuming) to develop as WBT and CBT • Instructor is able to adjust lesson pace or content based on participants' feedback or body language and facial expression • Participants are able to ask specific questions	• Participation is not always required • It is difficult to assess course pace • Time is spent away from job • Travel expenses are involved • Space and time limits exist • Modularized… If you like to pick and choose, you cannot do it with ILT • An ILT curriculum requires a lot of administrative support (registration, scheduling instructors, classroom setup, printing class materials, etc.)

Table 4-3: Pros and Cons of Web-Based Training (WBT)

PROS	CONS
• It can access existing distance learning courses from other agencies • It can save in travel costs • It can be conducted in real time OR accessed 24 hours a day • It can offer content customized for the individual	• It is resource intensive (time and money) to develop • It relies on technical infrastructure • Administration can be difficult • Participation can be difficult • There is no socialization component – people view this medium as impersonal • Not everything can be taught online • Participants are not able to ask specific questions and get an immediate • Participants must be fairly comfortable with the use of technology

Table 4-4: Pros and Cons of Computer-Based Training (CBT)

PROS	CONS
• Similar to WBT, except that a participant cannot attend a session in real time	• Similar to WBT

Table 4-5: Pros and Cons of Self-Study (SS)

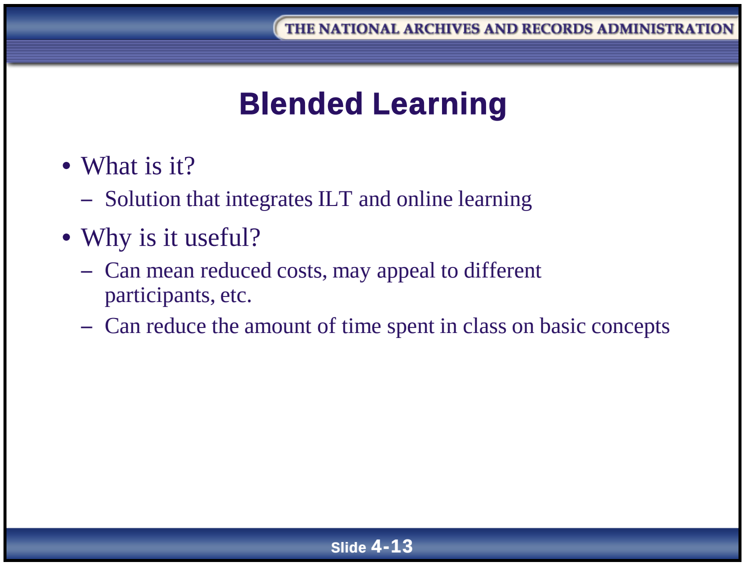
PROS	CONS
• The learning is self-paced, so differences between participants are less significant • Participants can access the training at a time and place that suits their needs • Self-study can deliver results speedily and inexpensively	• There is no socialization – participants are denied the opportunity of learning from each other • It requires disciplined participants • There is no support or interaction from an instructor

Table 4-6: Pros and Cons of On-the-Job Training (OJT)

PROS	CONS
• Participants receive immediate feedback during work • Participants can obtain a "personal service," where the training is tailored to meet their needs • The learning takes place in a familiar environment	• One-to-one training is much more expensive than other methods • It can be poorly structured • Instructors need subject matter expertise *and* training skills

Blended Learning

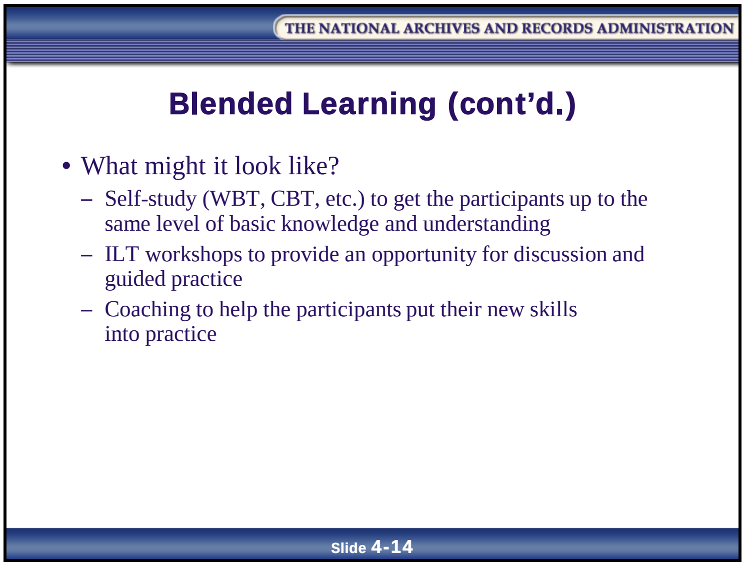
Slide 4-13



Blended learning appears to be the “perfect” training solution. It can be customized to fit all types of participants, environments, costs, and so forth.

- What is it?
  - Solution that integrates ILT and online learning
- Why is it useful?
  - Can mean reduced costs, may appeal to different participants, etc.
  - Can reduce the amount of time spent in class on basic concepts

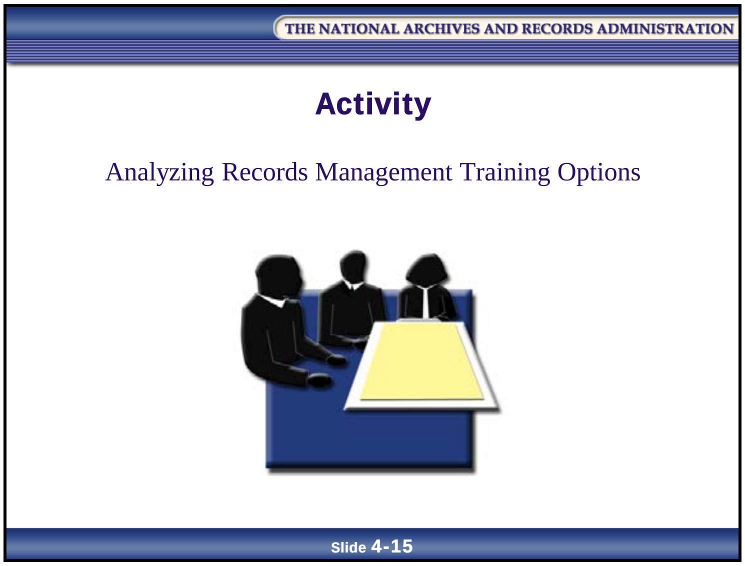
Slide 4-14



- What might it look like?
  - Self-study (WBT, CBT, etc.) to get the participants up to the same level of basic knowledge and understanding
  - ILT workshops to provide an opportunity for discussion and guided practice
  - Coaching (which can be online as well as face-to-face) to help the participants put their new skills into practice

Activity: Analyzing Records Management Training Options

Slide 4-15



[This page intentionally left blank.]

Analyzing the Training Options Worksheet

Purpose:

This activity's goal is to investigate how the different records management training options might work for *your* agency.

Directions:

Work individually to complete the table below.

Use Column 1 to list the types of tasks and skills needed for staff in your agency. (**Note:** You can use or expand on the list you created from slide four-seven.)

Use Column 2 to list the different training options (or other learning solutions) that could be used to teach these tasks and skills. (**Note:** Refer to slide 4-12, if you find it helpful.)

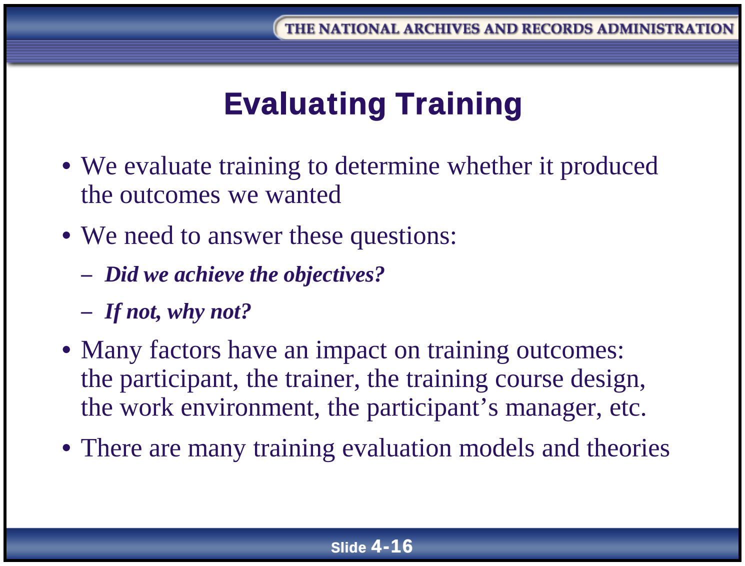
Table 4-8: Training Options Analysis Chart

TASKS AND SKILLS NEEDED	TRAINING OPTIONS
• Conduct a simple records survey and appraisal • Classify documents in various categories according to office file plan • Transfer records to off-site storage • Implement a vital records (essential information) program • Understand and use a records retention and disposition schedule	

[This page intentionally left blank.]

Evaluating Training

Slide 4-16



Training Evaluation

- We evaluate training to determine whether it produced the outcomes we wanted
- We need to answer these questions:
  - ***Did we achieve the objectives?***
  - ***If not, why not?***

What Affects the Outcomes?

Keep in mind that many factors affect a training's outcomes: the participant, the trainer, the training course design, the work environment, the participant's manager, etc.

Here are some examples of some situations in which other factors negatively affected the training outcomes.

- Pat attended a course on records scheduling. After the course, Pat was temporarily reassigned to another project for a few weeks. When Pat returned to her regular work assignment, she had forgotten what she learned in the training class.
- Lee attended a session to learn how to use a new database for tracking the agency's vital records (essential information). Two days after the course, the new database crashed. Lee's manager told Lee to use the old system and forget about the new database because it was so unreliable. When the information technology department told Lee's office that the database was up and working, Lee's manager directed Lee and his colleagues to continue to use the old system.

Training Evaluation Models and Theories

- There are many different models and theories:
  - Kirkpatrick's four levels
  - Phillips Return on Investment (ROI)-added model
  - Summative vs. formative

See **Handout 4.03 –** Training Evaluation in the Handouts section of your PG for more details on Kirkpatrick's model.

Lesson Summary

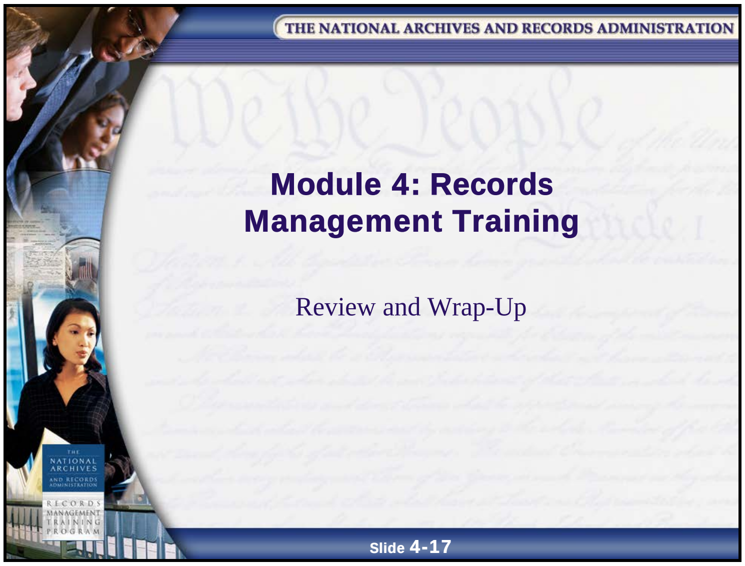
In this lesson, you learned that:

- The different modes of training delivery include:
  - Instructor-led training (ILT)
  - Web-based training (WBT)
  - Computer-based training (CBT)
  - Self-study (SS)
  - On-the-job training (OJT)
- Blended learning, which pulls together ILT and online learning, can reduce costs, appeal to different participants, and provide other benefits
- It is important to evaluate training to determine if it produced the desired outcomes

[This page intentionally left blank.]

Module 4 Review and Wrap-Up

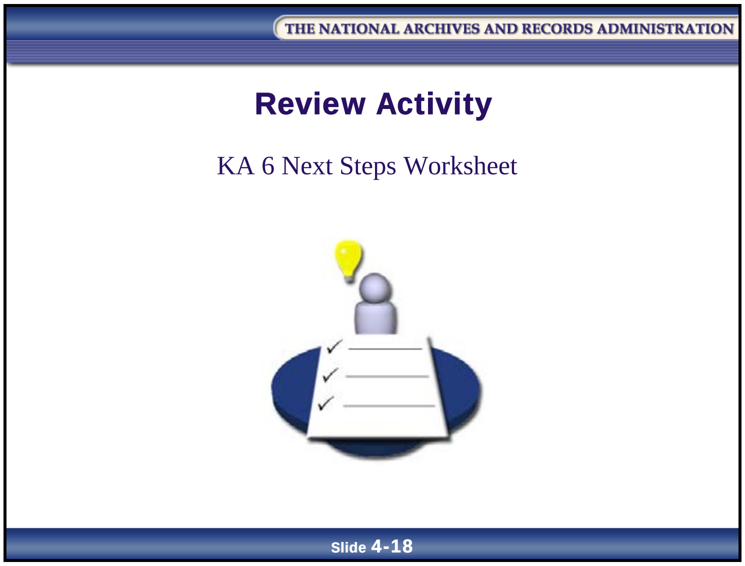
Slide 4-17



Overview

Review Activity: KA 6 Next Steps Worksheet

Slide 4-18



Module Review

Slide 4-19

In Module 4, you learned:

- Records management training is provided because it is required by 44 U.S.C. and because it can increase the knowledge and skills needed to support a program
- Effective training is based on a TNA, interactive, designed for different learning styles, and applicable to the work environment
- Training programs may be provided by NARA and developed by your agency (using resources from NARA and other agencies)
- Evaluation measures the impact of training (a) during the course (reaction and learning) and (b) back in the work environment (behavior and results)

[This page intentionally left blank.]

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Participant Guide
January 2017

Knowledge Area 6

Module 5: Records Management Promotion

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
RECORDS MANAGEMENT TRAINING PROGRAM

[This page intentionally left blank.]

Table of Contents

Introduction and Objectives .... PG 5-1
Overview .... PG 5-1
Objectives .... PG 5-2

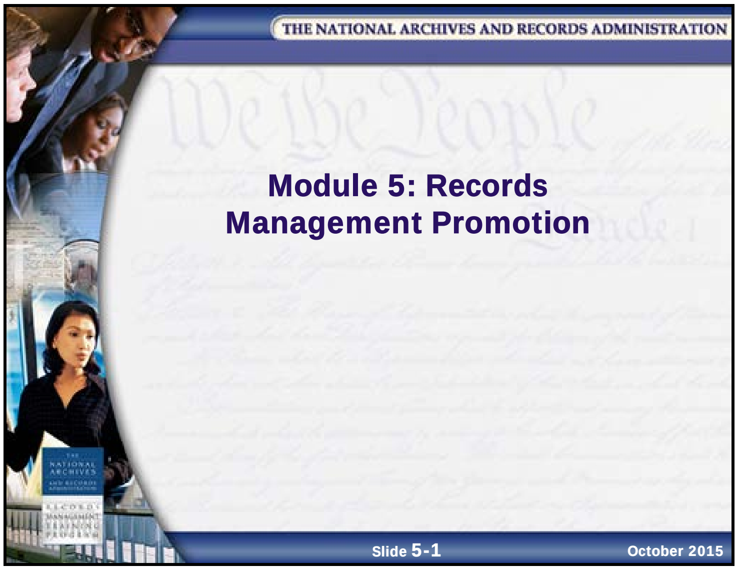
Lesson 1: Promotion Components and Target Audience .... PG 5-3
What Has Worked for You? .... PG 5-4
What is Promotion? .... PG 5-5
Why Should We Use Promotion? .... PG 5-7
The Benefits of Promotion .... PG 5-8
Resources to Help with Records Management Promotion .... PG 5-9
NARA .... PG 5-9
Other Agencies .... PG 5-10
Key Elements in Promotion .... PG 5-11
Target Audience – What? Who? .... PG 5-12
Potential Targets .... PG 5-13
Targets .... PG 5-13
Motivations to Purchase .... PG 5-14
Activity: Target Audience .... PG 5-15
Target Audience Worksheet .... PG 5-17
Lesson Summary .... PG 5-19

Lesson 2: Promotion Ideas and Projects .... PG 5-21
Describe Your Product .... PG 5-22
What About Records Management Makes It Sellable? .... PG 5-23
Develop a Promotional Strategy .... PG 5-25
Promotional Materials .... PG 5-26
Methods of Publicity .... PG 5-27
Tips for Promotional Designs .... PG 5-29
Activity: Design a Promotional Product .... PG 5-30
Design a Promotional Product Worksheet .... PG 5-31
Pitches and Presentations .... PG 5-33
30-Second Sales Pitch .... PG 5-34
A “Not So Great” Sales Pitch Example .... PG 5-35
Sales Pitch Improved .... PG 5-36
Activity: Develop Your Sales Pitch .... PG 5-37
Develop Your Sales Pitch Worksheet .... PG 5-39
Lesson Summary .... PG 5-41

Module 5 Review and Wrap-Up .... PG 5-43
Overview .... PG 5-43
Review Activity: KA 6 Next Steps Worksheet .... PG 5-44
Module Review .... PG 5-45

Introduction and Objectives

Slide 5-1



Overview

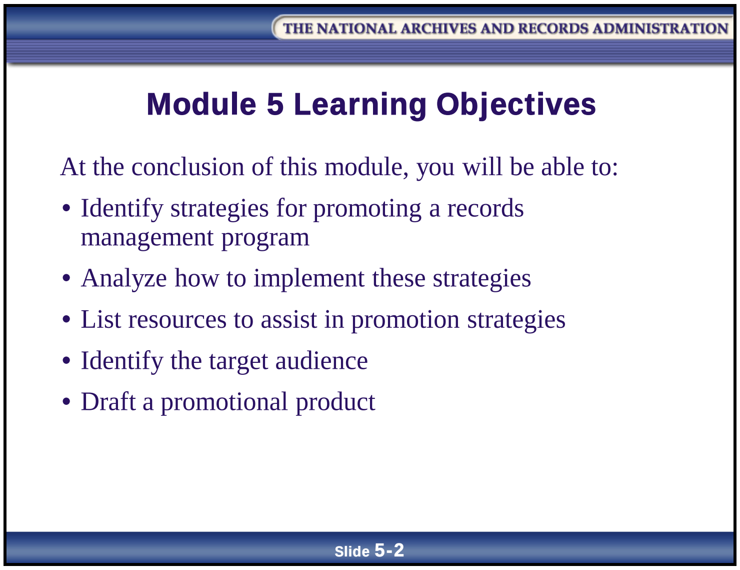
An effective records management program must be maintained and supported so that it continues to be a success. Promoting and advertising your program's benefits to your agency's employees are integral parts of this support function.

This module offers guidance and strategies for promoting an agency's records management program. Emphasis is placed on identifying strategies, establishing goals, identifying the target audience, and developing a plan.

NOTES

Objectives

Slide 5-2



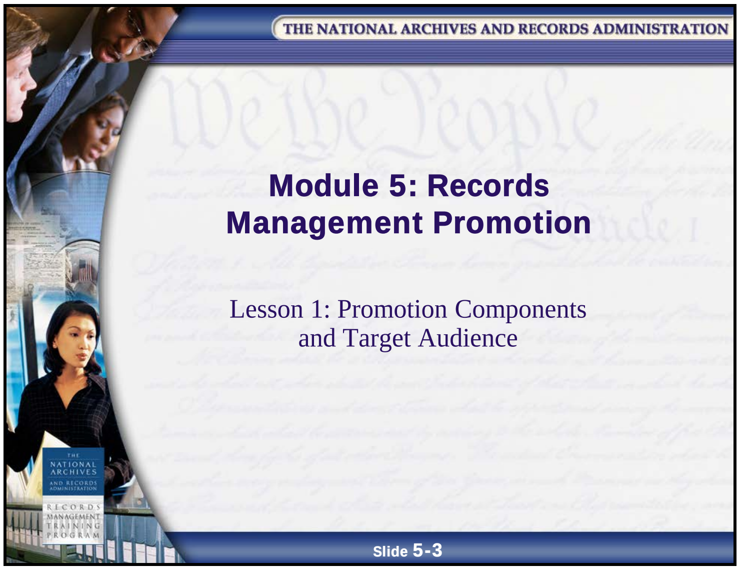
At the conclusion of this module, you will be able to:

- Identify strategies for promoting a records management program
- Analyze how to implement these strategies
- List resources to assist in promotion strategies
- Identify the target audience
- Draft a promotional product

NOTES

Lesson 1: Promotion Components and Target Audience

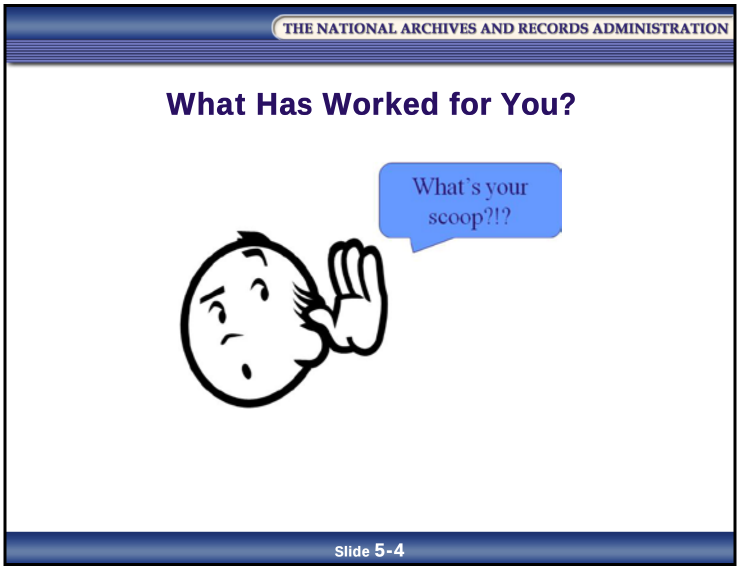
Slide 5-3



NOTES

What Has Worked for You?

Slide 5-4



Successful promotion ideas:

NOTES

What is Promotion?

Slide 5-5

Promotion and terms related to it can be defined as follows:

- Promotion: "Encouragement of the progress, growth, or acceptance of something; furtherance. Advertising; publicity"
- Marketing: "The business of buying and selling a specified commodity"
- Advertising: "The activity of attracting public attention to a product or business, as by announcements in the print, broadcast, or electronic media"

NOTES

Promotion Involves More Than Just Publicity

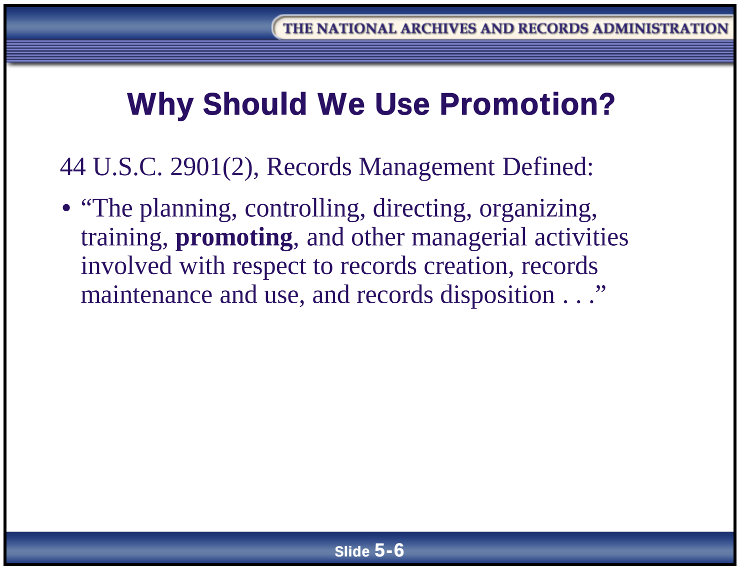
Promotion is more than just publicity. It is not one promotional item or event, but a process. It involves many different activities:

- Anticipating demand
  - What does your audience want, when, and how much?
- Looking at the bigger picture
  - How does your training fit into the agency's larger picture?
- Providing the "personal touch"
  - People can be more persuasive than a poster!
- Embedding marketing in development of training
  - When you develop training, ask yourself: How will you sell it?
- Evaluating marketing strategy
  - What worked, how, where, when, and why?

NOTES

Why Should We Use Promotion?

Slide 5-6

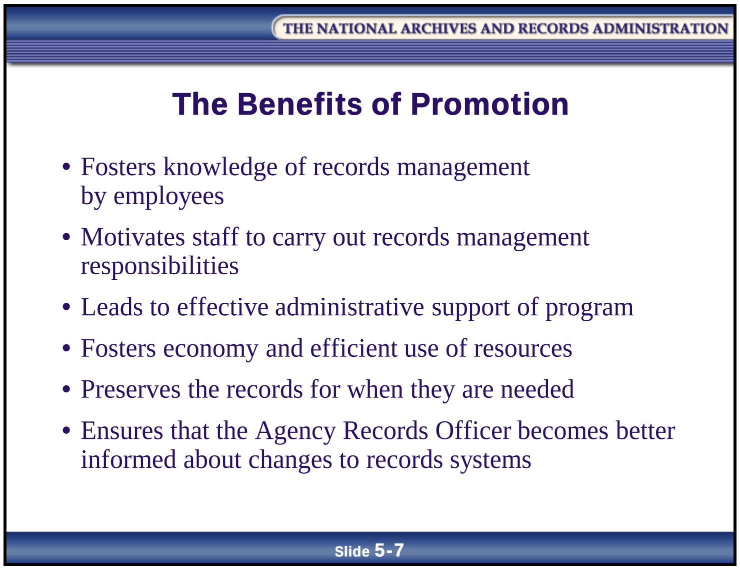


Promotion is not just a good idea. Based on 44 U.S.C., agencies are required to promote the elements within their records management program. They should use promotional materials and activities to advertise (and support) the training related to records management as well as the records management program itself.

NOTES

The Benefits of Promotion

Slide 5-7



The primary goal in promoting your records management program is to get the employees to effectively support your agency's program.

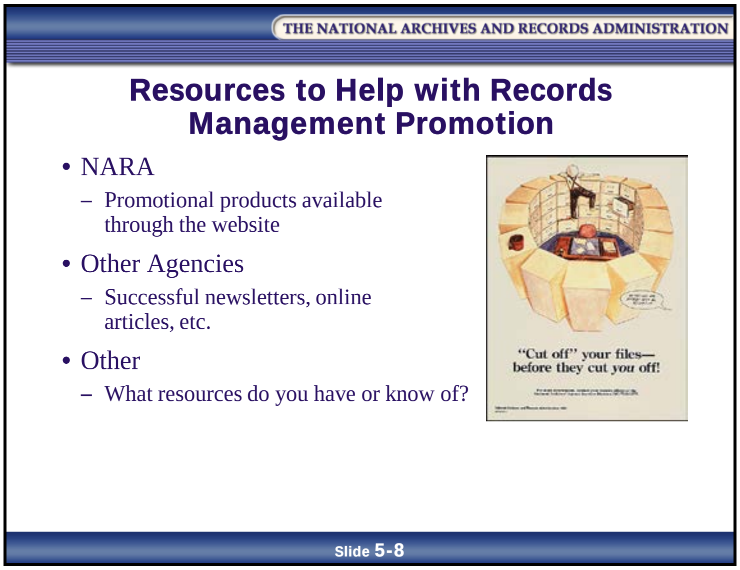
Benefits of promotion include:

- Fostering knowledge of records management by employees
- Motivating staff to carry out records management responsibilities
- Leading to effective administrative support of program
- Fostering economy and efficient use of resources
- Preserving the records for when they are needed
- Ensuring that the Agency Records Officer becomes better informed about changes to records systems by program offices

NOTES

Resources to Help with Records Management Promotion

Slide 5-8



NARA

NARA has publications and posters available for your use. In compliance with its publication distribution policies, NARA is moving toward disseminating all records management publications and posters primarily via the Internet. These publications and posters may be downloaded and reproduced as needed. To see what is available, visit *http://www.archives.gov/publications/records-mgmt.html*.

NOTES

Other Agencies

Other agencies have successful newsletters, online articles, etc. See details and links in Lesson 2 of this Module.

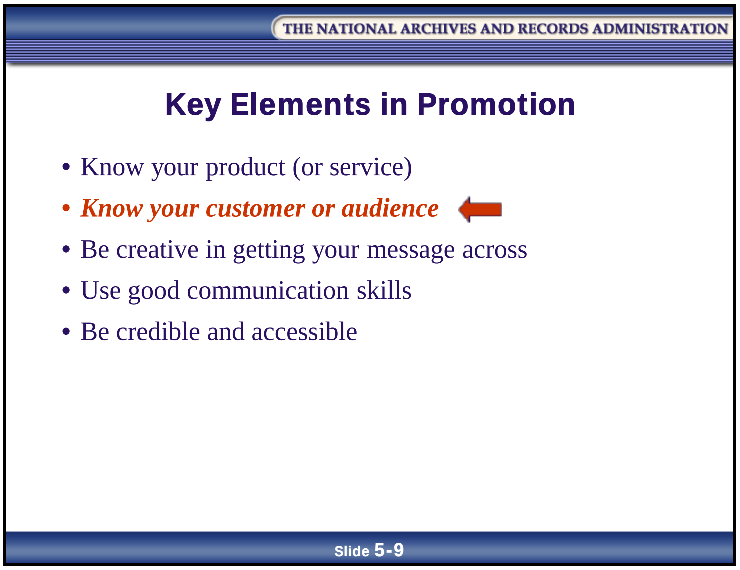
See the Handouts section in your Participant Guide (PG) for an example of a newsletter:

- **Handout 5.01 –** Records Express Blog

NOTES

Key Elements in Promotion

Slide 5-9

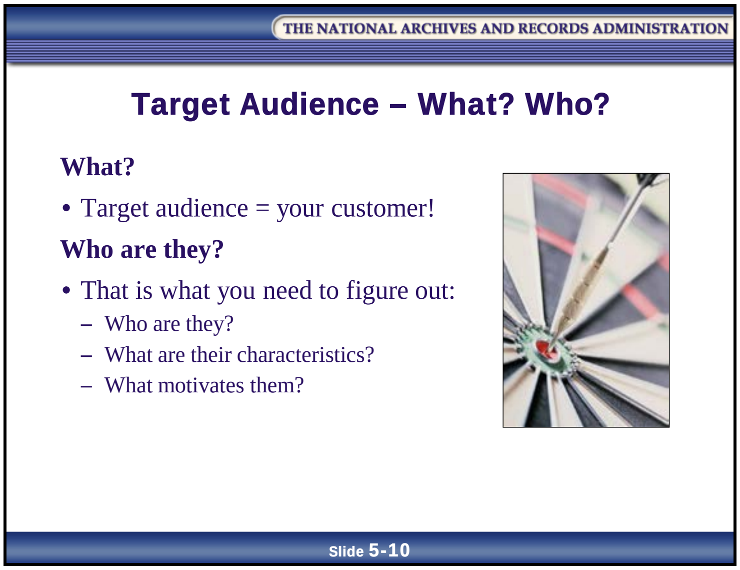


- Know your product (or service)
  - What can it do? What are the benefits to the customer? What current problems can it fix?
- **Know your customer or audience**
  - **Who are they? What are their characteristics? What motivates them? How might you reach them?**
- Be creative in getting your message across
- Use good communication skills
- Be credible and accessible

NOTES

Target Audience – What? Who?

Slide 5-10

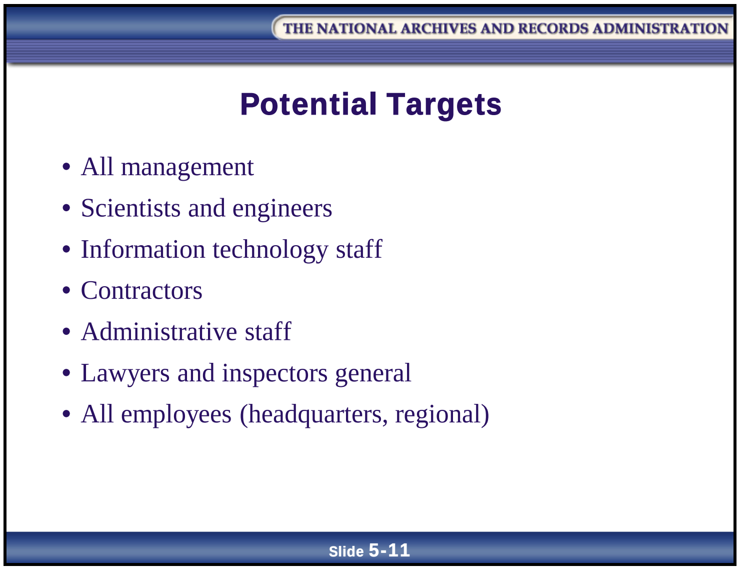


Your target audience is your customer. This lesson focuses on what you need to know about your customer to develop successful promotional strategies.

NOTES

Potential Targets

Slide 5-11



Targets

See **Handout 5.02** – Recordkeeping Roles and Responsibilities in your PG for details on potential targets.

NOTES

Motivations to Purchase

The research on marketing and advertising shows many different reasons that someone purchases an item or service.

Fundamental purchase motivations include:

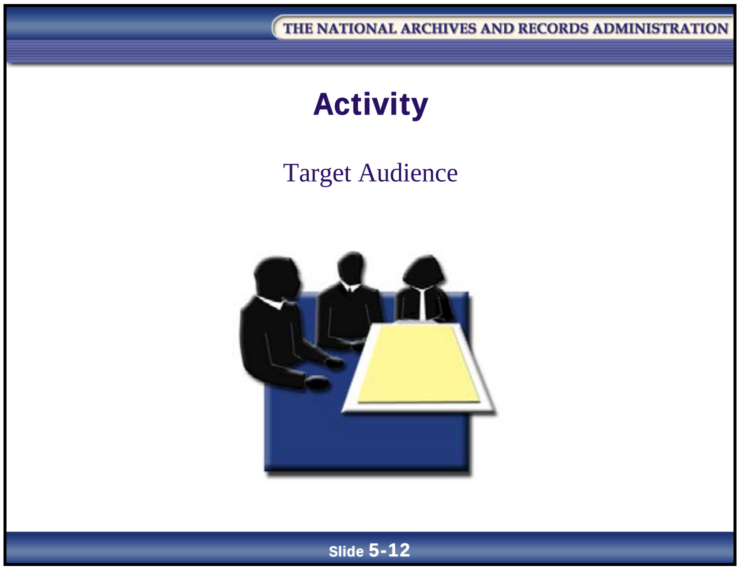
- Make money
- Save money
- Save time and effort
- Help friends and family
- Feel secure
- Impress others
- Gain pleasure
- Improve self
- Belong to a group

Tip: Measure your records management program (and training) against these fundamentals. Ask yourself: How will you get people in your organization to “purchase” it?

NOTES

Activity: Target Audience

Slide 5-12



NOTES

[This page intentionally left bank.]

Target Audience Worksheet

Purpose:

- This activity's goal is to reflect on questions about your target audience to develop a better understanding of your audience.

Directions:

- Refer to **Handout 5.02 –** Recordkeeping Roles and Responsibilities for details on potential targets
- Work with your table group on your assigned target using the Denver BPR Office Scenario (**Handout 1.02 –** Denver BPR Office Scenario)
- Record your answers on an easel chart, and be prepared to present them

---

Target Audience Questions for Target Group: ________________________________

What are their characteristics?

Which benefits of records management appeal to them?

What might motivate them to support your efforts?

[This page intentionally left blank.]

Lesson Summary

In this lesson, you learned that:

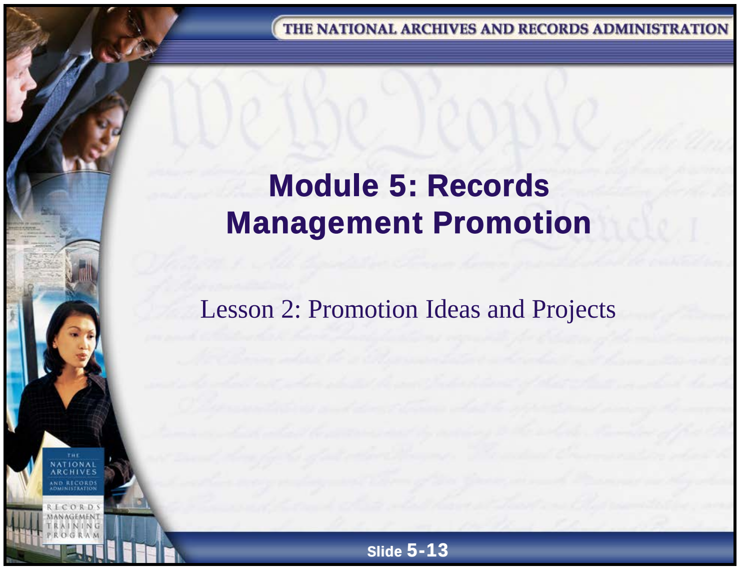
- Promotion is more than just advertising; it includes:
  - Anticipating demand, looking at the bigger picture, providing a personal touch, using marketing in the development of training, adopting a unified approach, and developing a marketing plan
- Promotion is required by 44 U.S.C. 2901(2)
- Promotion benefits include:
  - Increasing knowledge, motivating staff, fostering economy and the efficient use of resources
- Many promotional products and ideas are available through NARA and other Federal agencies
- Knowing your customer is critical to your promotion efforts
- Different people have different motivations for purchasing a product or service
- To answer these questions about your customer:
  - Who are they?
  - What are their characteristics?
  - What motivates them – both in general and in relation to records management?
- These answers will help you build your promotional strategy

NOTES

[This page intentionally left blank.]

Lesson 2: Promotion Ideas and Projects

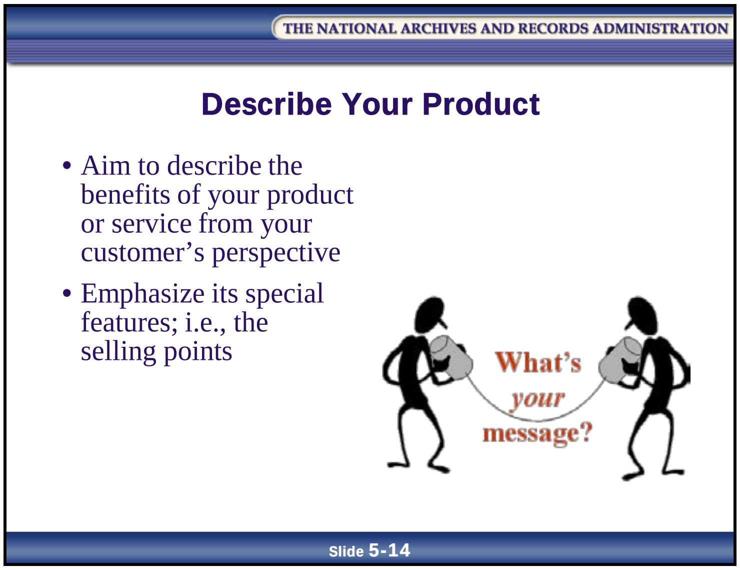
Slide 5-13



NOTES

Describe Your Product

Slide 5-14



Ask yourself: What is my message?

One of the keys to selling a product or service is to understand that everyone's favorite radio station is WIIFM ("What's In It For Me?"). Remember, customers are not buying to benefit you (the provider); they are buying because there is some benefit to them personally.

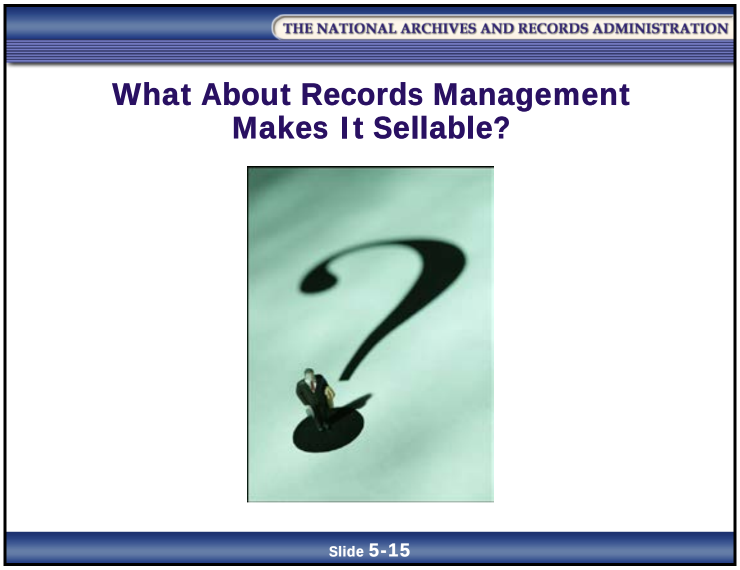
In describing your product or service, you want to:

- Aim to describe the benefits of your product or service from your customer's perspective
- Emphasize its special features; i.e., the selling points

NOTES

What About Records Management Makes It Sellable?

Slide 5-15



What about records management is sellable?

____

____

____

____

____

____

NOTES

____

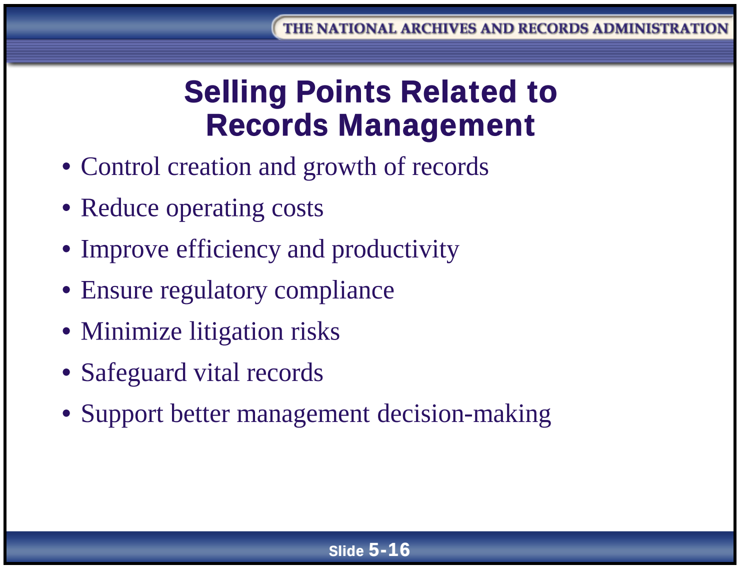
____

____

____

____

Slide 5-16



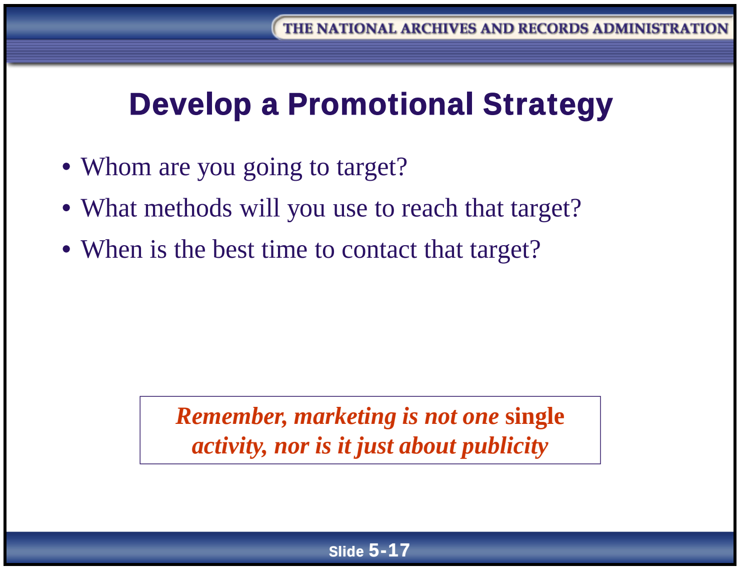
Some selling points include the records management program’s ability to:

- Control creation and growth of records
- Reduce operating costs
- Improve efficiency and productivity
- Ensure regulatory compliance
- Minimize litigation risks
- Safeguard vital records (essential records)
- Support better management decision-making

NOTES

Develop a Promotional Strategy

Slide 5-17



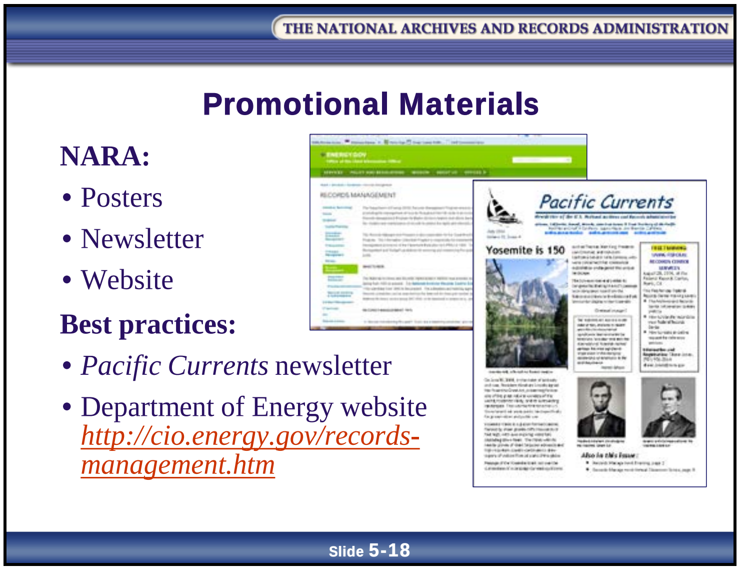
One email or one “eye-catching” poster is *not* going to be the key to selling your product or service. Success in marketing involves coming up with a number of promotional products. It involves having a strategy:

- Whom are you going to target?
- What methods will you use to reach that target?
- When is the best time to contact that target?

NOTES

Promotional Materials

Slide 5-18



This slide shows an example of a website used by the Department of Energy. The DOE uses their website to effectively promote their records management program.

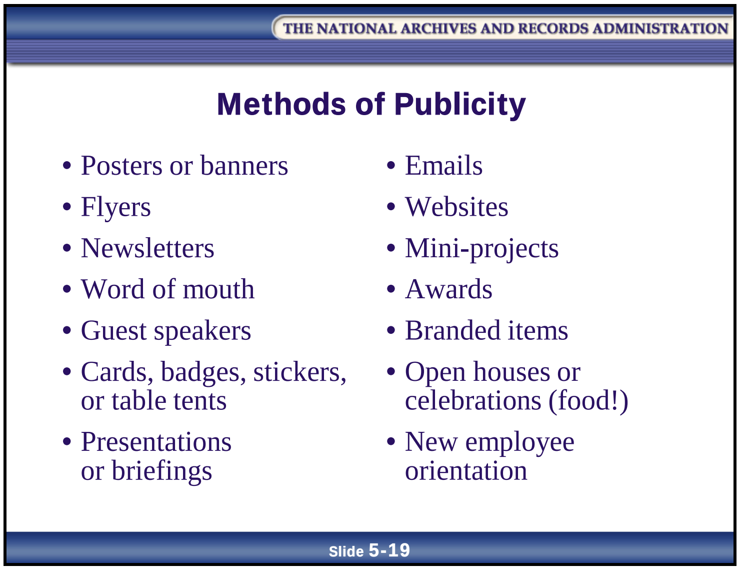
The newsletter is used by a NARA region to promote records management and to advertise regional training classes.

- *Pacific Currents* newsletter
  http://www.archives.gov/records-mgmt/newsletter/currents/
- Department of Energy website
  http://cio.energy.gov/records-management.htm

NOTES

Methods of Publicity

Slide 5-19



You can use many different methods to promote your records management program. Again, using one method (e.g., developing colorful posters) will most likely not be as successful as having a collection of methods (e.g., email alerts, posters, and briefings).

NOTES

Table 5-3: Pros and Cons of Publicity Methods

Method	Pros	Cons
Posters	• Big • Inexpensive • Easy to distribute	• Poster blindness • Temporary
Flyers	• Personal • Can be kept • Combined with vouchers	• Disposable • Need lots – could be expensive • Distribution
Email	• Cheap • Personal • Links	• Need addresses • Junk mail • Dull
Websites	• Flash • Current • Links • Lots of information	• Setup • Accessibility • Requires updating • Impersonal
Word of Mouth	• Cheap • Can be very effective	• Bad reputation • Miscommunication • Slow

NOTES

Tips for Promotional Designs

Slide 5-20

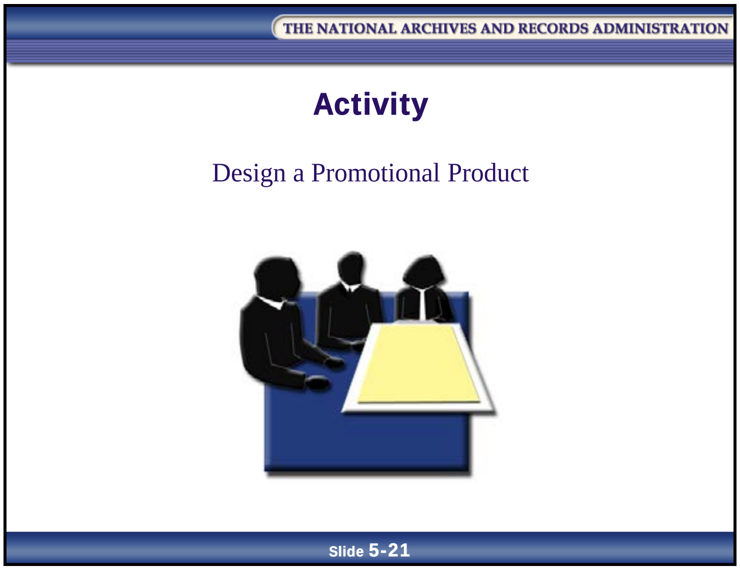
The following list of tips was developed for printed promotional materials, but many of these concepts also apply to online materials:

- Keep it simple:
  - Use no more than three fonts (preferably only two)
  - Use simple color schemes
  - Do not include too much information or too much artwork
- Tailor your message:
  - Make the message clear and concise
  - Make the style appropriate to the message
  - Make sure you include all the relevant information
- Brand it:
  - Select a logo, motto, or slogan
  - Establish a recognizable branding for all your publicity

NOTES

Activity: Design a Promotional Product

Slide 5-21



NOTES

Design a Promotional Product Worksheet

Purpose:

This activity's goal is to create a usable promotional product.

Directions:

- Work with your table group to design a product (e.g., flyer, poster, email) for the Bureau of Public Recreation (BPR) Denver Office
- Answer the questions listed below
- Use an easel chart to create, draw, or write your product

Who is your target audience?

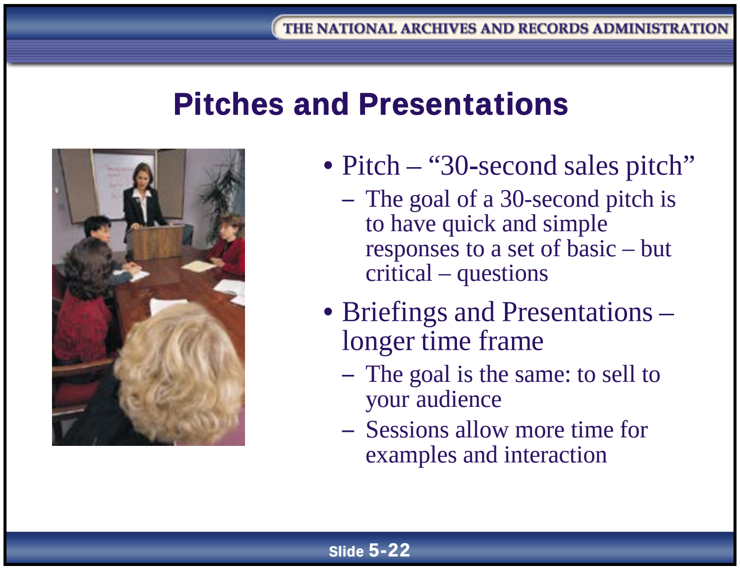
What type of promotional product are you going to create?

What WIIFM might you use? What selling points will work?

[This page intentionally left blank.]

Pitches and Presentations

Slide 5-22



Records Management Presentations

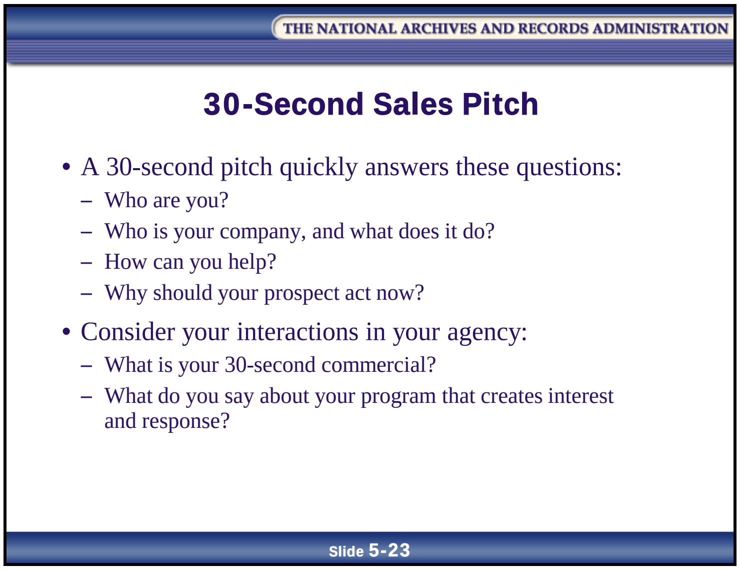
Another approach to promoting a records management program is to conduct briefings. Different staffs require different briefings, depending on their needs. However, the main point of all briefings is getting the information you need to do your job. For example:

- High-level briefings stress reduction of operating costs, regulatory compliance, minimization of litigation risks, and safeguarding the vital records (essential records) of the agency
- Counsel briefings stress regulatory compliance, minimization of litigation risks, and safeguarding vital records (essential records).
- General audiences need a brief overview of the regulations governing records management; a discussion of litigation risks and operating costs might be helpful
- New staff members need an overview of regulations governing records management as well as a discussion of efficiency and productivity and the control, creation, and growth of records
- Program staff briefings need a discussion on improving efficiency and productivity, a reminder of the regulations and where to find them for review, discussions of any litigation risks that might be apparent, and reductions in operating costs
- Briefings to partners with other agency programs and areas stress the incorporation of standard records management practices across all program areas

NOTES

30-Second Sales Pitch

Slide 5-23



The goal of a 30-second commercial (or sales pitch) is to **GRAB** the attention of your audience.

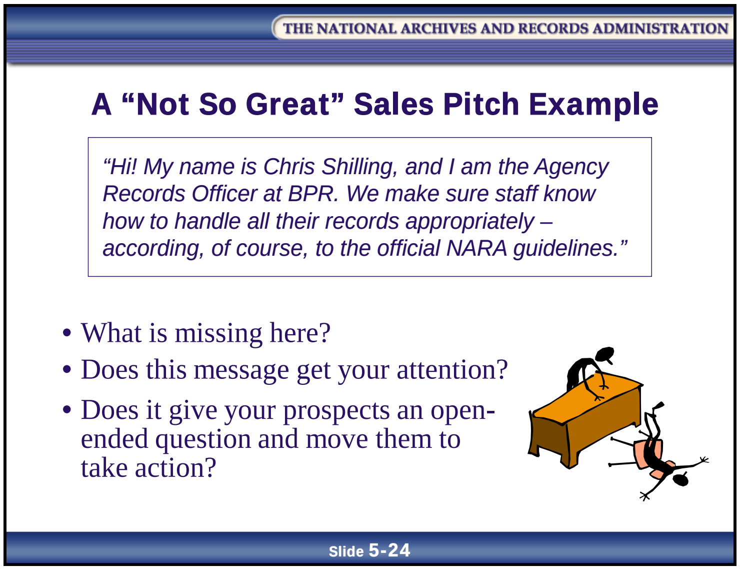
A 30-second pitch quickly answers these questions:

- Who are you?
- Who is your company, and what does it do?
- How can you help?
- Why should your prospect act now?

NOTES

A "Not So Great" Sales Pitch Example

Slide 5-24



What is missing here?

Does this message get your attention?

Does it give your prospect an open-ended question and move them to take action?

NOTES

Sales Pitch Improved

Slide 5-25

What do you think about this pitch?

Is it better?

Does it make you want to participate in the program?

NOTES

Activity: Develop Your Sales Pitch

Slide 5-26

NOTES

[This page intentionally left blank.]

Develop Your Sales Pitch Worksheet

Purpose:

This activity's goal is to develop a sales pitch that you can use to sell the importance of your agency's records management program.

Directions:

- Individual activity (time = 2 minutes):
  - Review the sales pitch slides (5-22 through 5-25)
  - Draft a sales pitch using the outline in your PG
- Pairs activity (time = 4 minutes):
  - Give your pitch to your partner, and get feedback

Name: ____

Company or Office: __________________________________

What we do (how we can help):

Power question:

Why the prospect should act now:

[This page intentionally left blank.]

Lesson Summary

In this lesson, you learned that:

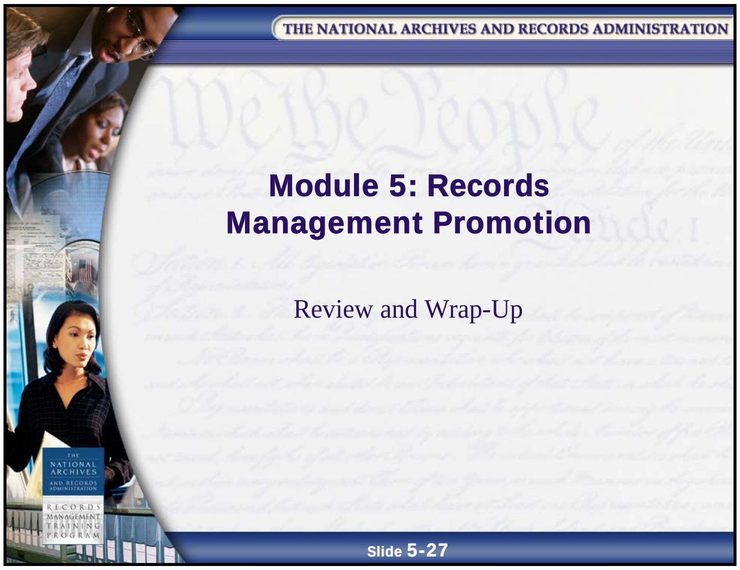
- The first step is to describe your product or service
- You can use many selling points to promote records management
- You can use a variety of promotional products (each with advantages and disadvantages):
  - Posters, newsletters, speakers, email, website, events, etc.
- Sales pitches and briefings tell your customer:
  - Who you are, what you and your organization do, how you can help the customer, and why the customer should act
- It is important to develop a promotional strategy *and* to continue to update and modify it as needed

NOTES

[This page intentionally left blank.]

Module 5 Review and Wrap-Up

Slide 5-27

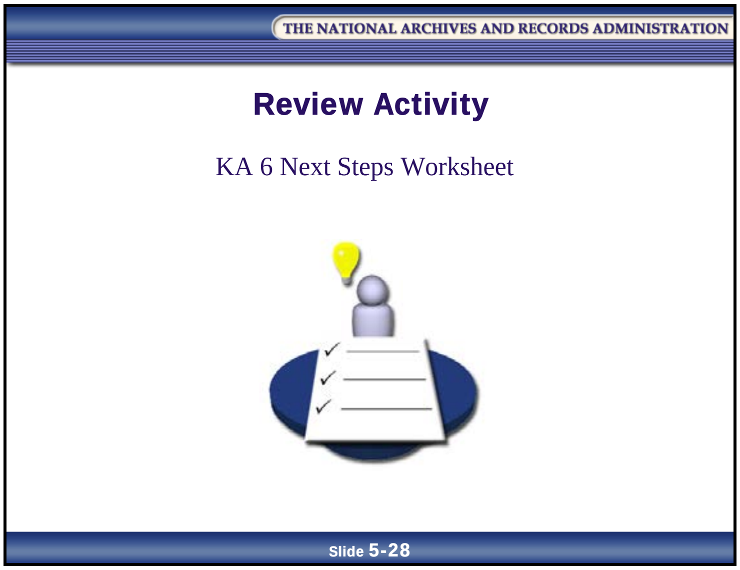


Overview

NOTES

Review Activity: KA 6 Next Steps Worksheet

Slide 5-28



NOTES

Module Review

Slide 5-29

In Module 5, you learned that:

- Promotion is more than just advertising
- Promotion is required by 44 U.S.C. 2901(2)
- Benefits of promotion include:
  - Increasing knowledge, motivating staff, fostering economy and efficient use of resources
- Knowing your target audience is critical to your promotion efforts:
  - Who are they?
  - What are their characteristics?
  - What motivates them?
- Once you have identified your customer, you need to describe your product or service; be sure to include WIIFM
- There are a variety of promotional products and strategies you can use; there are also materials that have already been developed by NARA
- Once you develop a promotional strategy, you should evaluate it and continue to update and modify it as needed

NOTES

[This page intentionally left blank.]

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Participant Guide
January 2017

Knowledge Area 6

Course Wrap-Up

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

RECORDS MANAGEMENT TRAINING PROGRAM

Table of Contents

Review of Modules 1–5 .... PG Wrap-Up-1
Course Wrap-Up .... PG Wrap-Up-1
Module 1: Overview of Records Management Program Development .... PG Wrap-Up-3
Module 2: Records Management Inspection .... PG Wrap-Up-4
Module 3: Records Management Implementation .... PG Wrap-Up-5
Module 4: Records Management Training .... PG Wrap-Up-6
Module 5: Records Management Promotion .... PG Wrap-Up-7

Applying What You Learned .... PG Wrap-Up-9
Review Activity: Critical Issues Questions .... PG Wrap-Up-9
Critical Issues Questions .... PG Wrap-Up-11

Final Questions .... PG Wrap-Up-13
Resolving Final Questions .... PG Wrap-Up-13

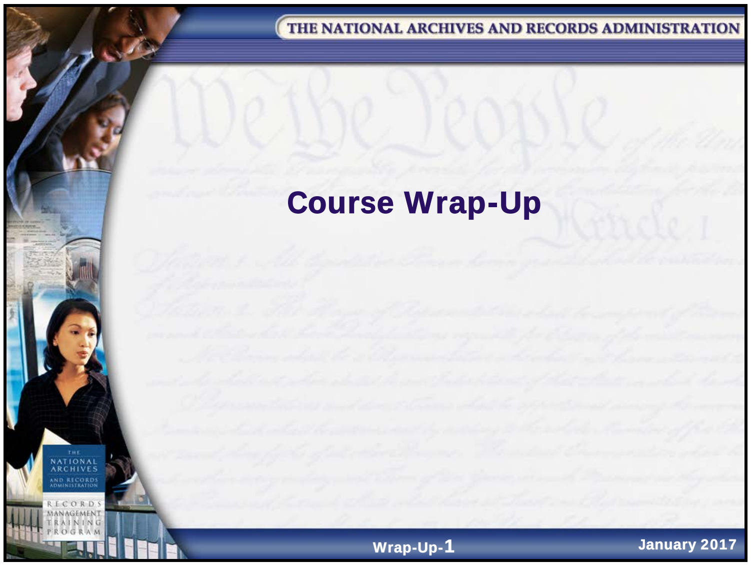
Where to Go for Help .... PG Wrap-Up-15
Help Resources .... PG Wrap-Up-15
References .... PG Wrap-Up-17

Course Evaluation .... PG Wrap-Up-19
Course Evaluation .... PG Wrap-Up-19

[This page intentionally left blank.]

Review of Modules 1–5

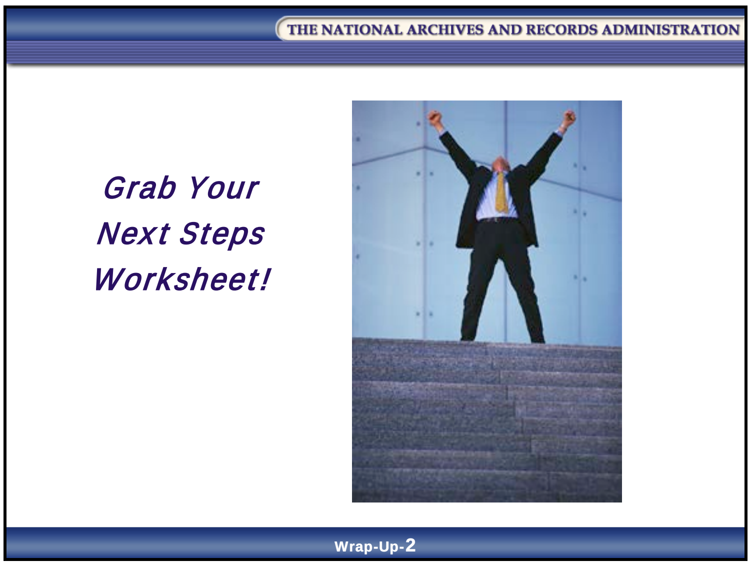
Slide Wrap-Up-1



Course Wrap-Up

The primary goal of KA 6 was to encourage you to view records management as a *program* rather than just a collection of different processes and requirements. The information and activities within this course should help lay the foundation for your agency's records management program.

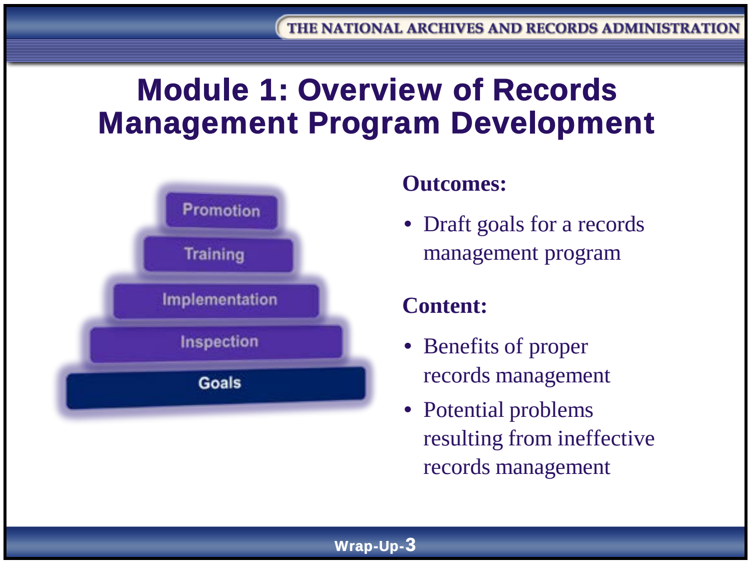
Slide Wrap-Up-2



Use your completed KA 6 Next Steps Worksheet during this review.

Module 1: Overview of Records Management Program Development

Slide Wrap-Up-3



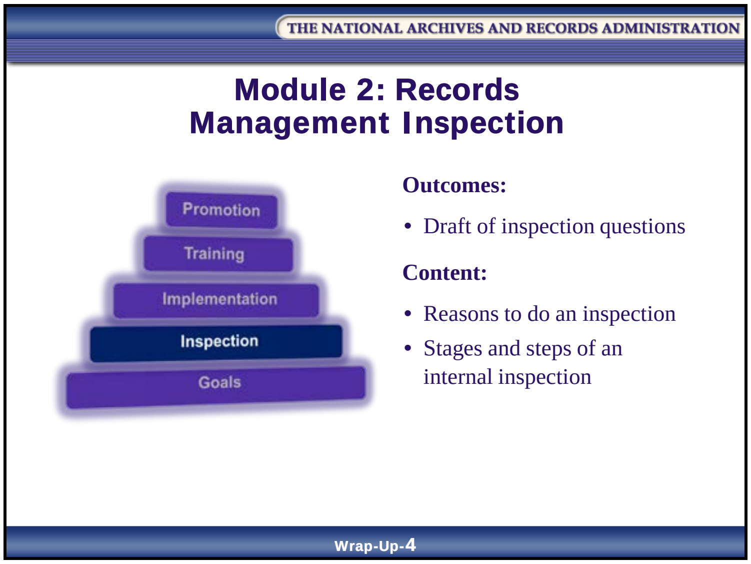
The goal of Module 1 was to encourage the participants to view records management as a program rather than just a collection of different processes and requirements. It provided an overview of the basic components of an effective records management program. The module invited the participants to identify the current situations in their agencies and then contrast those current situations with the desired situation (based on the key elements required to build an effective records management program). The difference between the current and desired situations – the "gap" – was then addressed with the remaining KA 6 modules.

Our objectives:

- Describe the key components of a records management program
- Define the key elements required to build an effective records management program
- Define vital records
- Draft goals for a records management program

Module 2: Records Management Inspection

Slide Wrap-Up-4



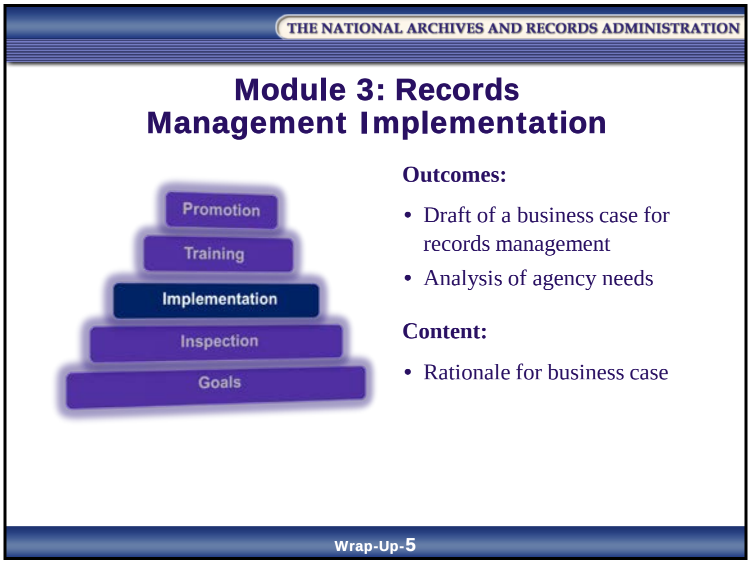
The goal of Module 2 was to identify the components needed to conduct an inspection as well as the steps an agency needs to take to conduct a proper records management inspection.

Our objectives:

- Describe the records management components used in an inspection
- Identify key sources related to records management inspection
- Define the critical factors for an inspection
- Draft inspection questions

Module 3: Records Management Implementation

Slide Wrap-Up-5



The goal of Module 3 was to introduce the participants to the idea of developing a business case for their records management program.

Our objectives:

- Draft a business case for records management
- Identify the steps for planning and implementing an electronic records management system (ERMS)
- Analyze the need for external resources and identify external resources needed and the agency's responsibilities regarding these external resources
- List unique records management issues and problems that must be addressed when using external resources

Module 4: Records Management Training

Slide Wrap-Up-6

The goal of Module 4 was to highlight the importance of records management training and identify tips on how to deliver effective training, as well as how to evaluate the impact of the training.

Our objectives:

- Identify the benefits of training staff in records management
- List the characteristics of effective training
- Describe sources for training
- List tips for delivering effective training
- Analyze the different records management training options

Module 5: Records Management Promotion

Slide Wrap-Up-7

Module 5 focused on developing goals and strategies for promoting an agency's records management program.

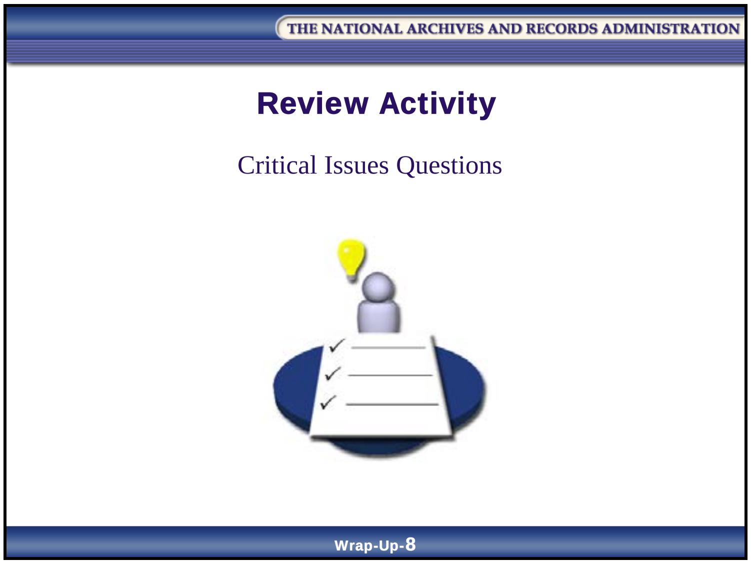
Our objectives:

- Identify strategies for promoting a records management program
- Analyze how to implement these strategies
- List resources to assist in promotion strategies
- Identify the target audience
- Draft a promotional product

[This page intentionally left blank.]

Applying What You Learned

Slide Wrap-Up-8



Review Activity: Critical Issues Questions

[This page intentionally left blank.]

Critical Issues Questions

1. What are the three most critical issues you need to address within your agency to achieve an effective records management program?

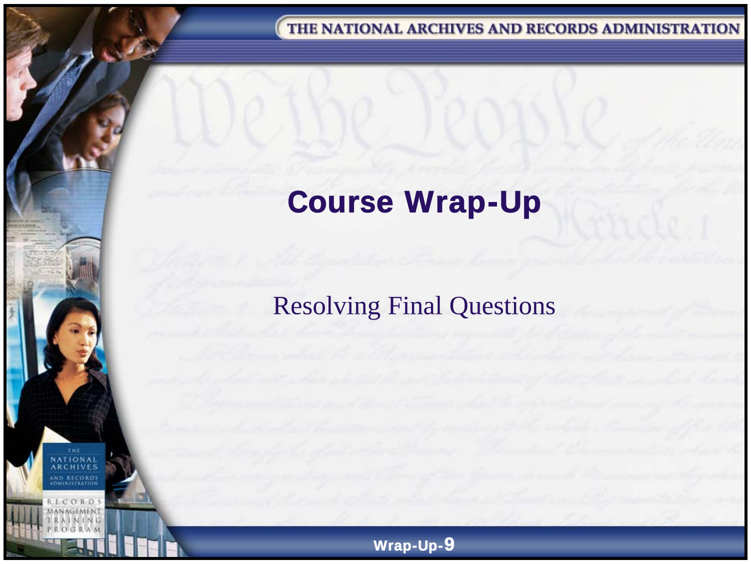
2. What challenges or obstacles are you likely to encounter?

3. What can you do to overcome these challenges or obstacles?

[This page intentionally left blank.]

Final Questions

Slide Wrap-Up-9

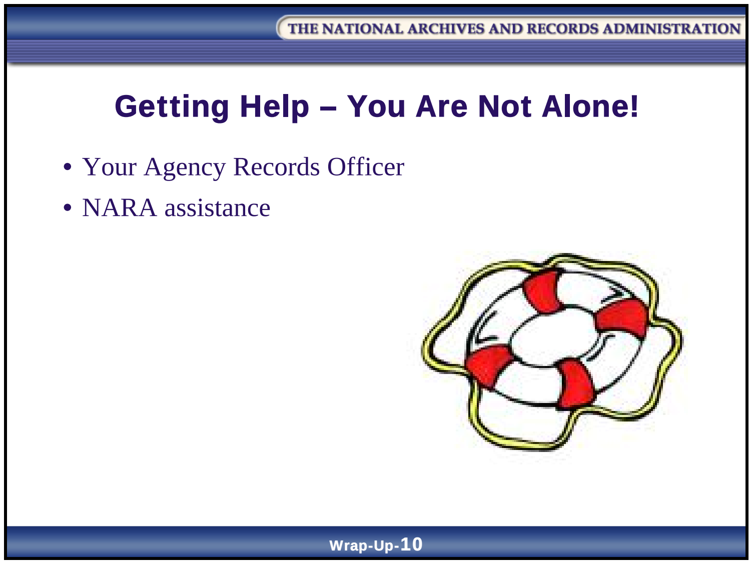


Resolving Final Questions

[This page intentionally left blank.]

Where to Go for Help

Slide Wrap-Up-10

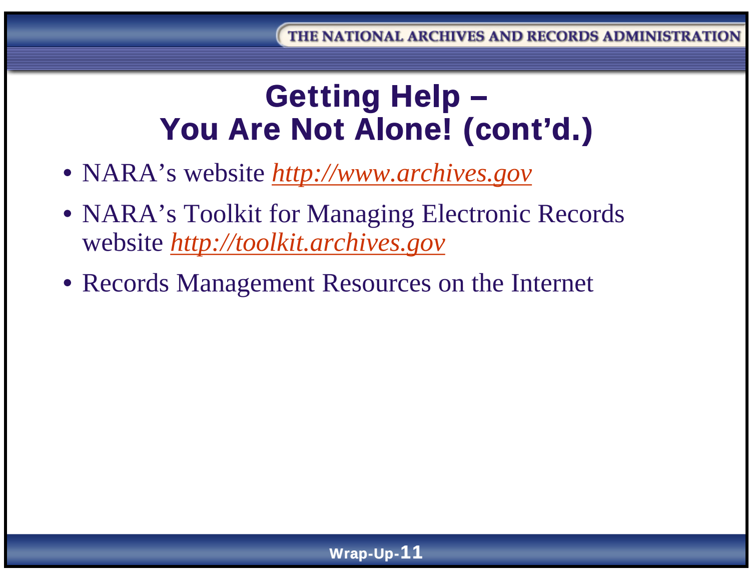


Help Resources

Help is available.

- Your Agency Records Officer should be your first source for help
- NARA assistance is another important resource

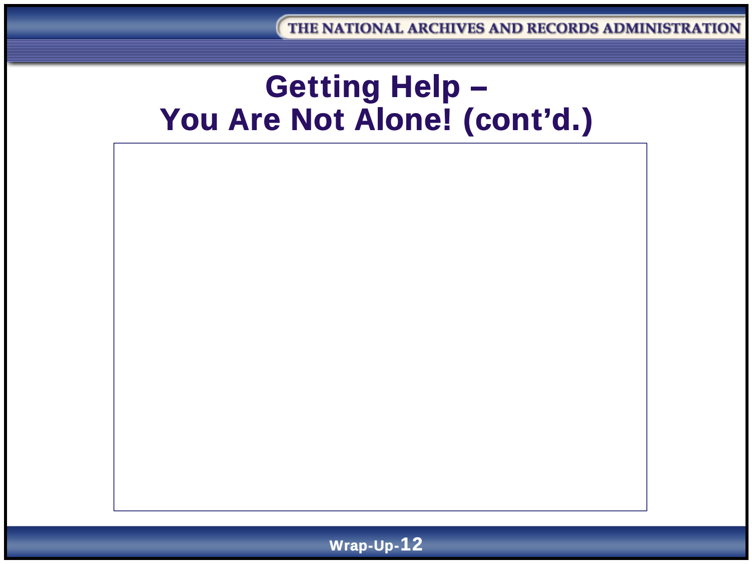
Slide Wrap-Up-11



- NARA's website *http://www.archives.gov*
- NARA's Toolkit for Managing Electronic Records website *http://toolkit.archives.gov*

- **Reference 02 –** Records Management Resources on the Internet in the References section of your Participant Guide (PG)

Slide Wrap-Up-12



- Publications
  - NARA has a variety of publications and posters available via the Internet. The publications and posters may be downloaded and reproduced as needed. Refer to NARA's website for publications at *http://www.archives.gov/publications/records-mgmt.html*.

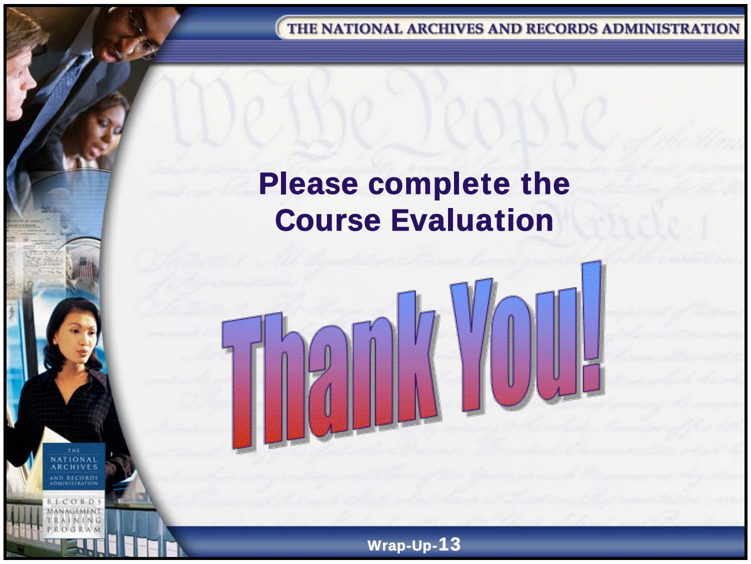
References

See **Reference 01** – Knowledge Area 6 References in the References section of your PG for a list of sources used in creating the KA 6 course materials.

[This page intentionally left blank.]

Course Evaluation

Slide Wrap-Up-13



Course Evaluation

Thank you for supporting NARA's Records Management Program. We value your opinion of our training course. Please take a few minutes to complete the course evaluation once it is available at NARA's Learning Center: *https://nara.csod.com*. Availability should be no later than 24 hours after the course's conclusion. Participants must complete and submit their course evaluation in NARA's Learning Center before they can receive their course certificate.

[This page intentionally left blank.]