THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Participant Guide
January 2017

Knowledge Area 1:

RECORDS MANAGEMENT OVERVIEW

Welcome

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
RECORDS MANAGEMENT TRAINING PROGRAM

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Administrative Items

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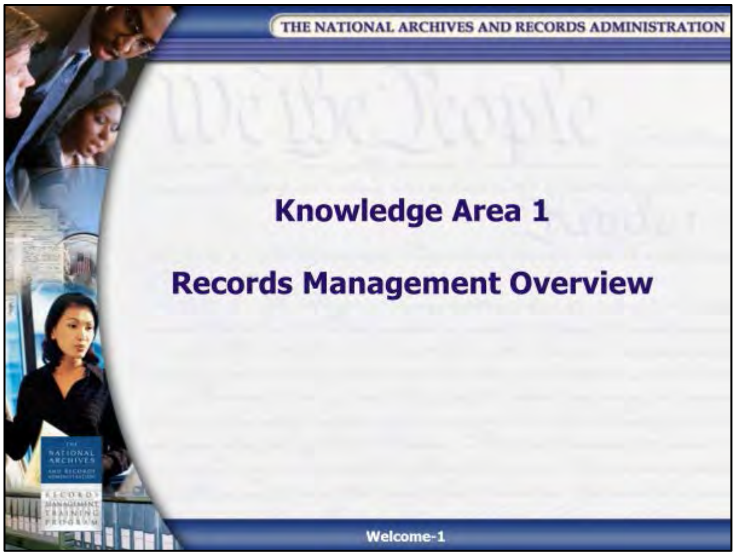

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Knowledge Area 1

Records Management Overview

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
RECORDS MANAGEMENT TRAINING PROGRAM

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Administrative Items

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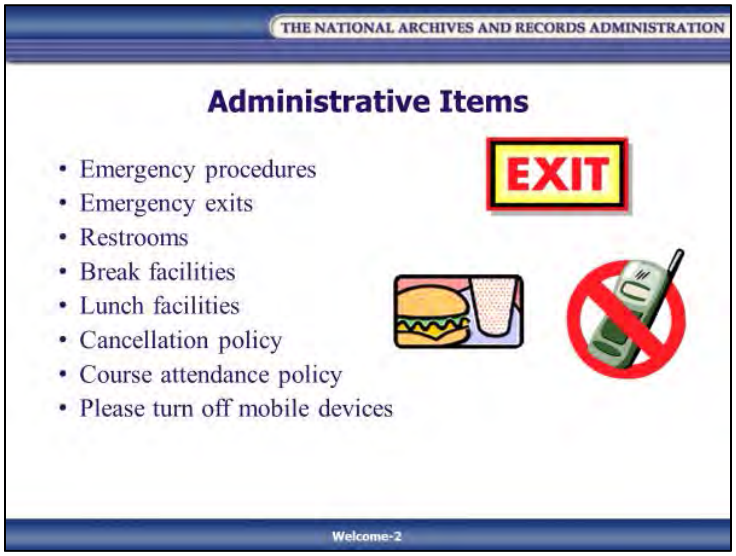

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Administrative Items

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

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 *OPM website*.

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.

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Getting to Know You

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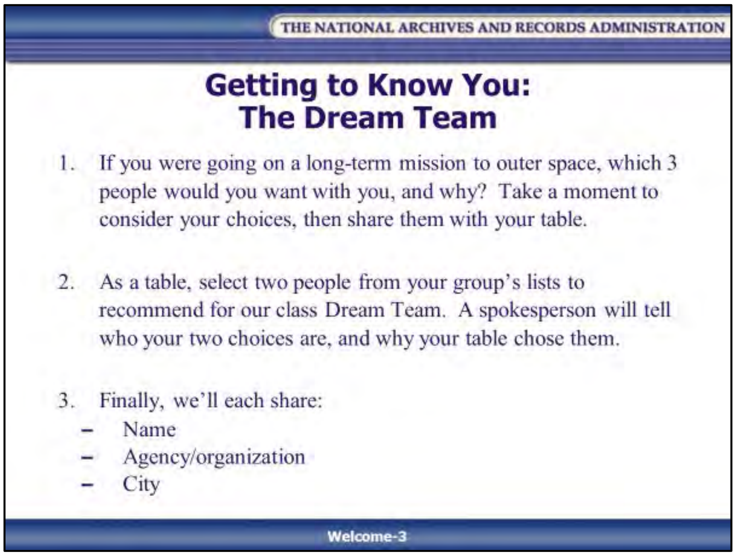

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Getting to Know You:
The Dream Team

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

Welcome-3

In this workshop, we'll discuss the people, processes, technology and tools needed in effective records programs. Let's get to know each other by focusing first on people.

If you were going on a long-term mission to outer space, which three people (from today, from history, or from literature, movies, etc.) would you want with you, and why? You can assume you'll have a professional crew to pilot the ship, navigate, and provide basic care for the passengers. Take a moment to think about your choices, then discuss them with your group.

Once you've learned about each person in your table group, it's time to assemble our spaceflight dream team. As a group, choose two people from your lists to recommend to the class as a whole. Select one spokesperson who will share your two recommendations and tell why you picked them.

When we return to the full class, your spokesperson will share your two choices, and then everyone in your table group will briefly introduce him/herself (name, agency/organization, and city).

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Your Records Management Experience

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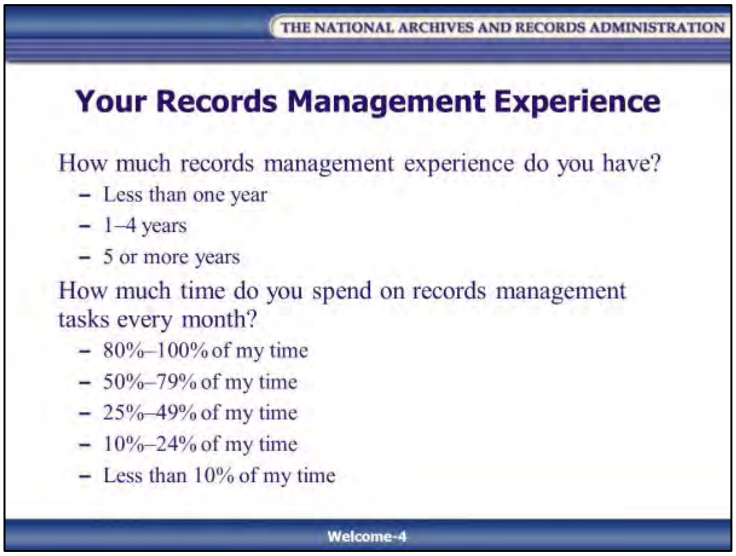

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Your Records Management Experience

How much records management experience do you have?
- Less than one year
- 1–4 years
- 5 or more years

How much time do you spend on records management tasks every month?
- 80%–100% of my time
- 50%–79% of my time
- 25%–49% of my time
- 10%–24% of my time
- Less than 10% of my time

Welcome-4

How much records management experience do you have?

- Less than one year
- One to four years
- Five or more years

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

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

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About NARA

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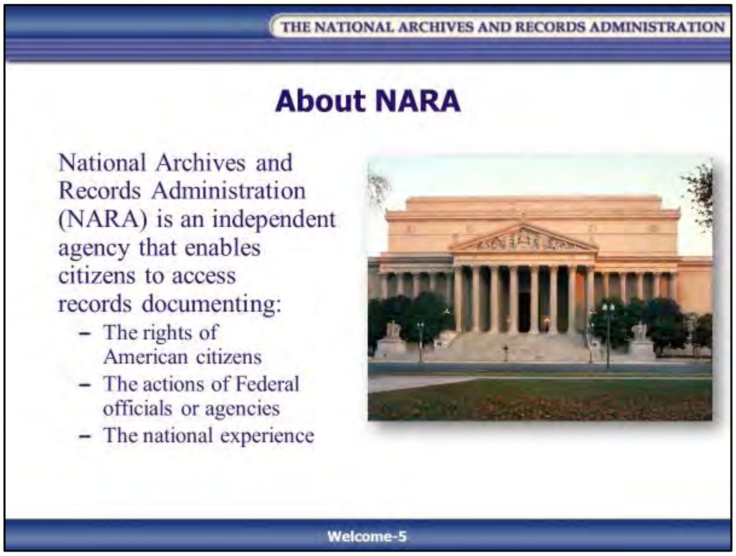

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

About NARA

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

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

Welcome-5

As you probably know by now, NARA stands for the National Archives and Records Administration. We are the archivists and records management experts who provide guidance for managing Federal records and other business information.

More formally, NARA holds a public trust that enables officials and agencies to review their actions and helps citizens hold them accountable. NARA ensures continuing access to essential evidence that documents:

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

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THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

About NARA

Welcome-6

As part of that mission, NARA:

- Determines what evidence is essential for such documentation
- Ensures that government creates such evidence
- Makes it easy for users to access that evidence
- Is here to help you

NARA manages a network of Archives, Presidential Libraries, Federal Records Centers, and other programs across the country, providing access to millions of documents, photographs, sound and video recordings, maps, information systems, and other items that document the history of our Federal government, our communities, and our national experience.

You'll find more information about NARA's holdings, programs, locations, activities, and staff on our website at archives.gov.

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Course Outline

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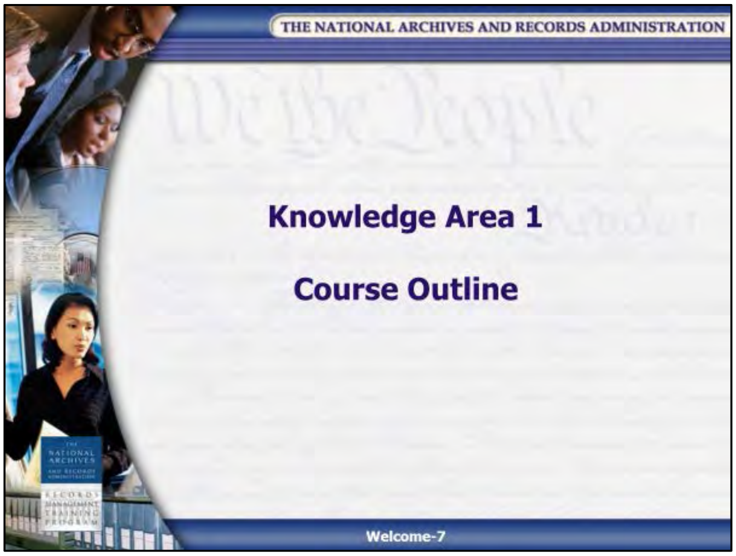

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Knowledge Area 1

Course Outline

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

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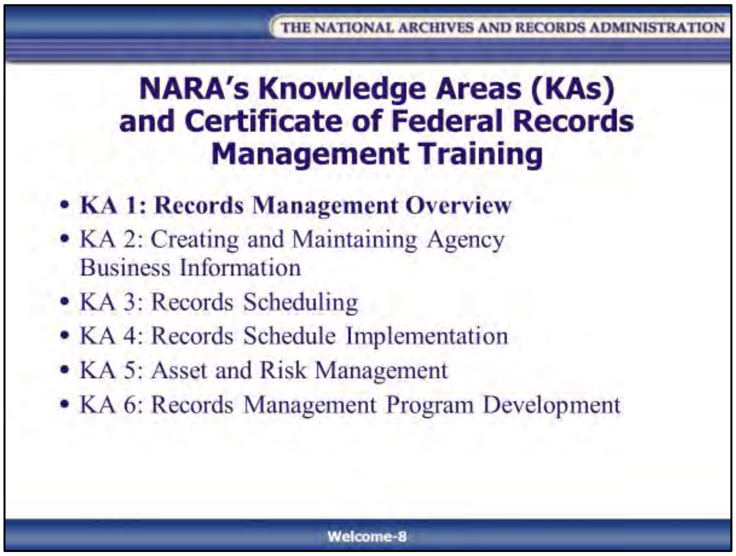

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NARA's Knowledge Areas (KAs) and Certificate of Federal Records Management Training

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

Welcome-8

With the constant changes in Information Technology and Federal recordkeeping, NARA is challenged to pursue strategies to ensure that records professionals have current knowledge and skills to do their jobs effectively. NARA offers a program that certifies individuals after successful completion of training in Federal records management. **Knowledge Area 1: Records Management Overview** supplies the records management foundations for the other five KA courses (KA 2 to KA 6) that make up NARA's Federal records management training certificate program.

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

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Course Objectives

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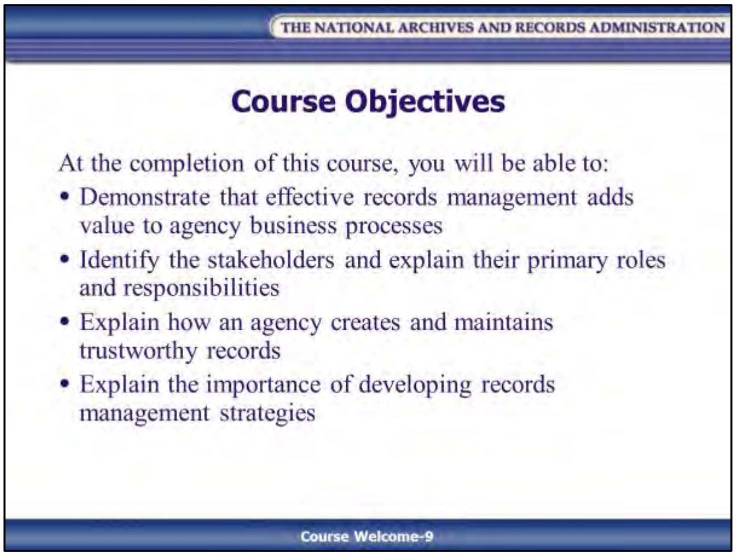

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Course Objectives

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

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

Course Welcome-9

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Course Agenda

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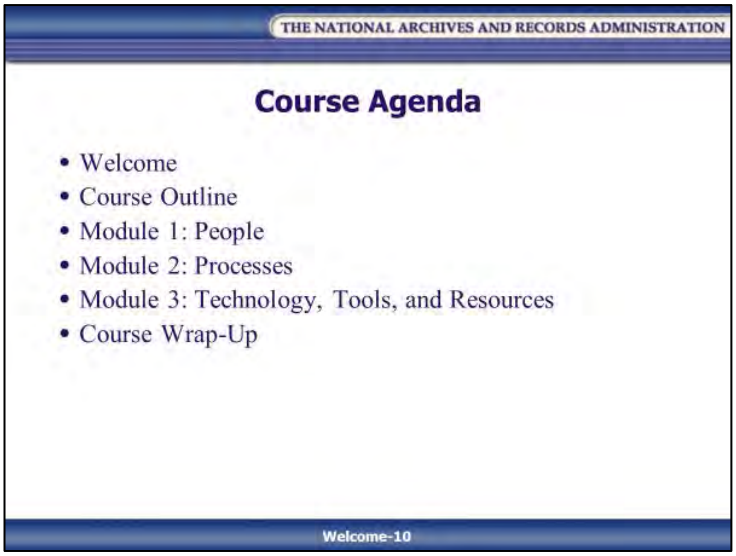

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Course Agenda

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

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

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Course Materials

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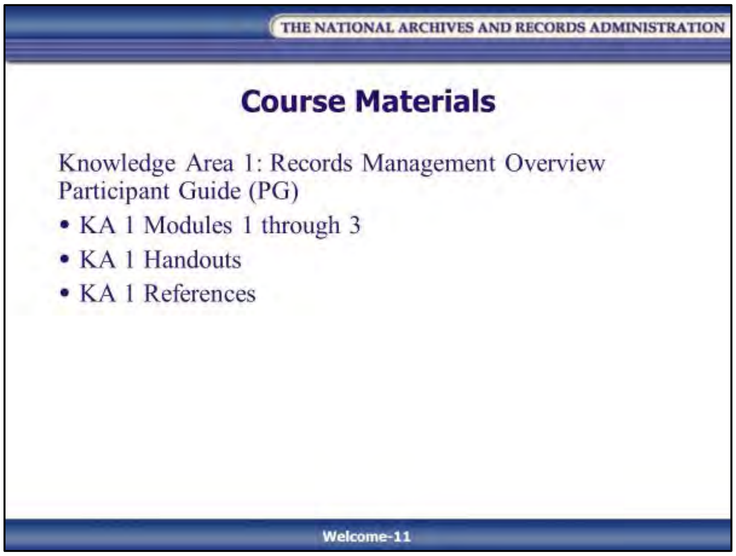
THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Course Materials

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

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

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- Knowledge Area 1: Records Management Overview Participant Guide (PG)
  - KA 1 Modules 1 through 3
  - KA 1 Handouts
  - KA 1 References

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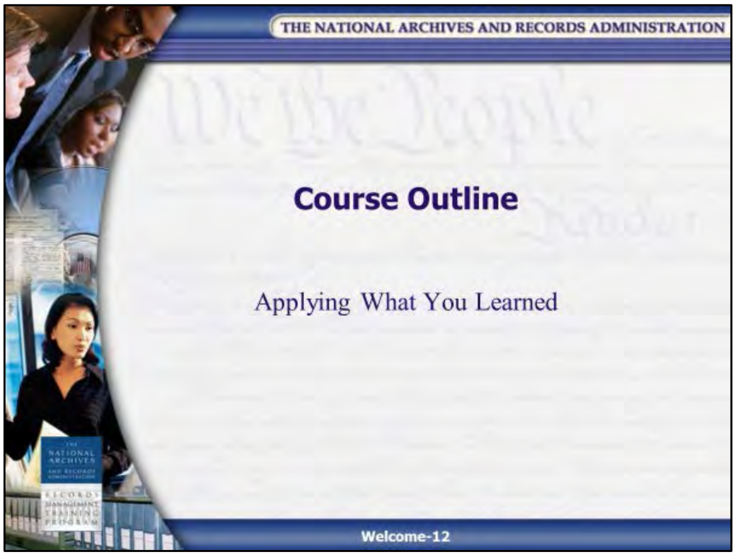
Applying What You Learned

Slide Welcome-12



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Course Outline

Applying What You Learned

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Action Items Worksheets

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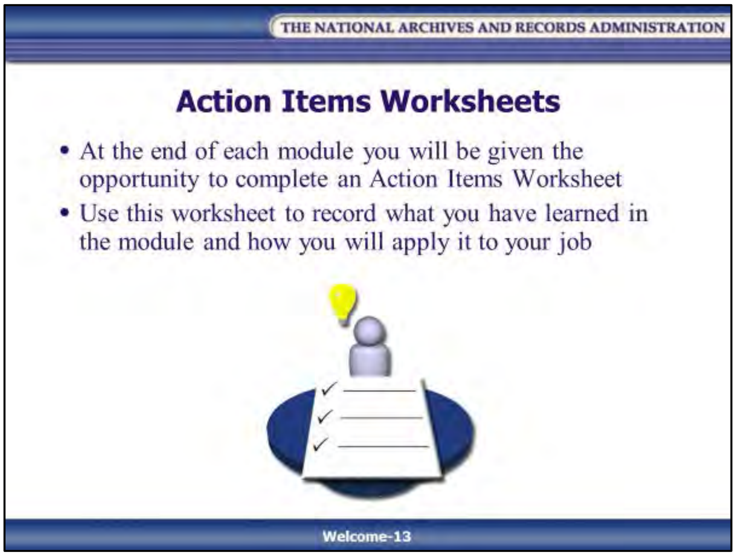

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Action Items Worksheets

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

Welcome-13

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 an Action Items Worksheet so you can reflect on what you have 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 share voluntarily items from your Action Items Worksheet with the rest of the class.

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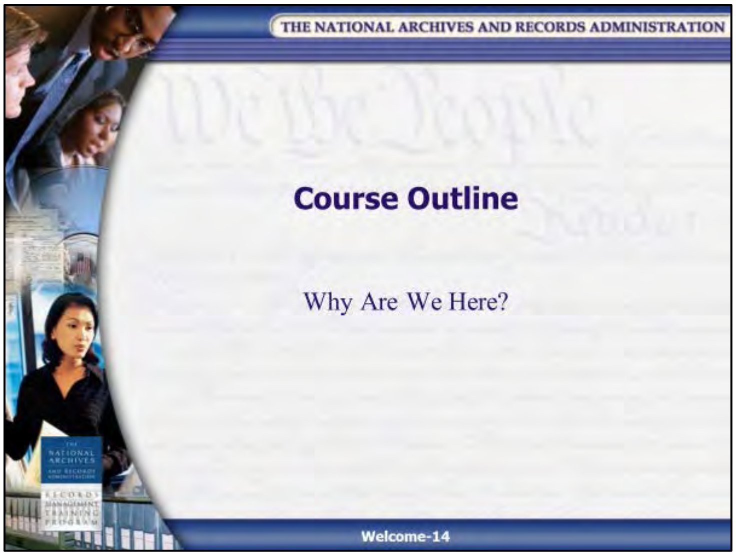
Why Are We Here?

Slide Welcome-14



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Course Outline

Why Are We Here?

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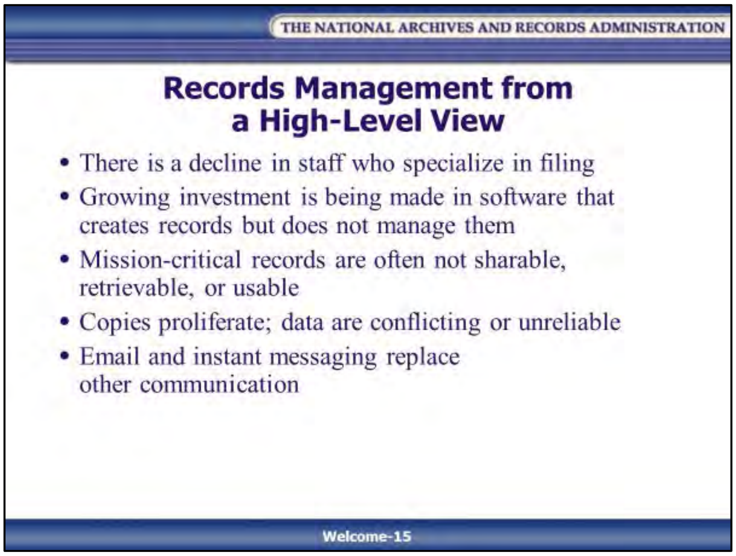
Records Management from a High-Level View

Slide Welcome-15



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Records Management from a High-Level View

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

Welcome-15

Today's records management environment is ever-changing, fast-paced, and electronically driven. The records management challenges include the following:

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

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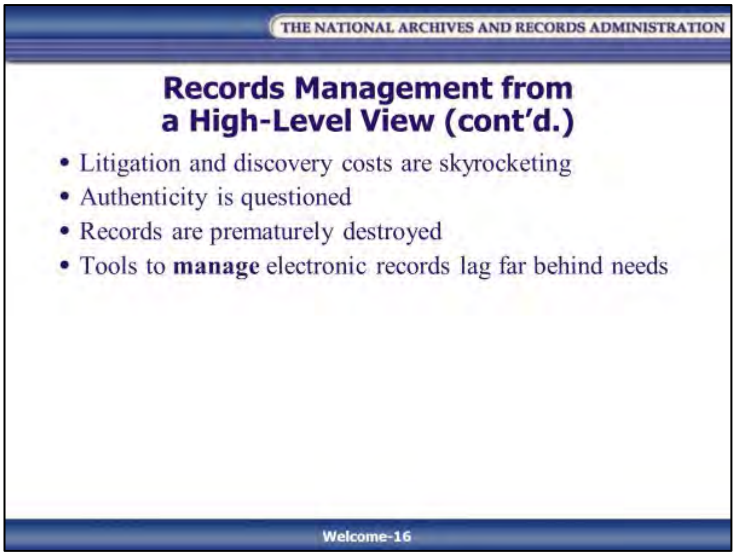
Slide Welcome-16



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

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

Welcome-16

- Litigation and discovery costs are skyrocketing
- Authenticity of information is often questioned
- Records are not destroyed in a timely or appropriate manner
- Tools to **manage** electronic records lag far behind current needs

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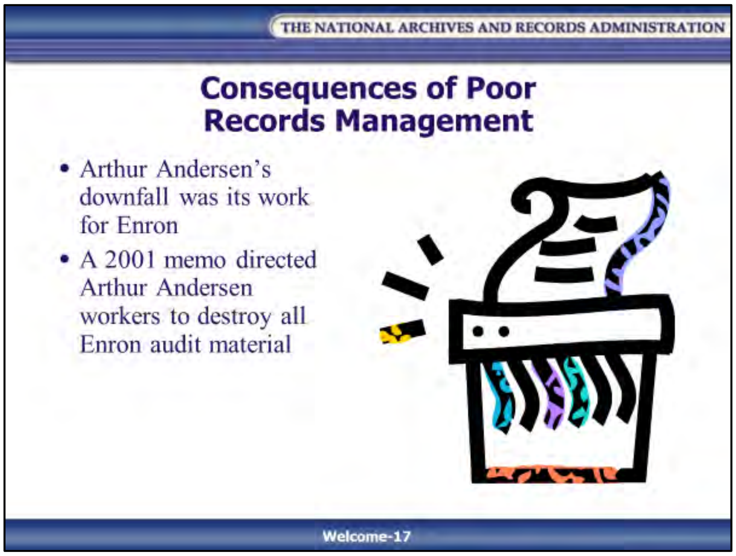
Consequences of Poor Records Management

Slide Welcome-17



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Consequences of Poor Records Management

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

Welcome-17

There are high-profile, records-related incidents, like those listed here, help illustrate the current state of affairs in records management:

- Management of email in Federal agencies
- Arthur Andersen and Enron – Everyone remembers the downfall of accounting giant Arthur Andersen LLC in the Enron case. One of its problems was a November 12, 2001, memo that directed Andersen workers to destroy all Enron audit material, except for the most basic "work papers."

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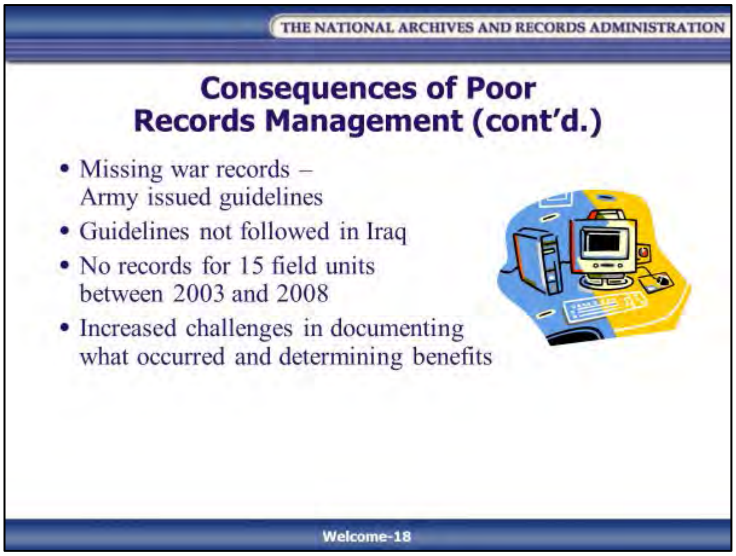
Slide Welcome-18



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Consequences of Poor Records Management (cont'd.)

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

Welcome-18

- Missing War Records – To offset the records management problems the Army encountered during the Gulf War, the Army developed and issued guidelines for preserving the records. However, the guidelines were not followed in the Iraq War, 2003–2007, and a large portion of the field records were lost. Not only does the Army not have a complete history of what happened in the early years of the Iraq conflict, soldiers are having difficulty proving that they were even there. Without the field records, the Army, soldiers, and the Veterans Administration experienced increased challenges in documenting what occurred and determining benefits.

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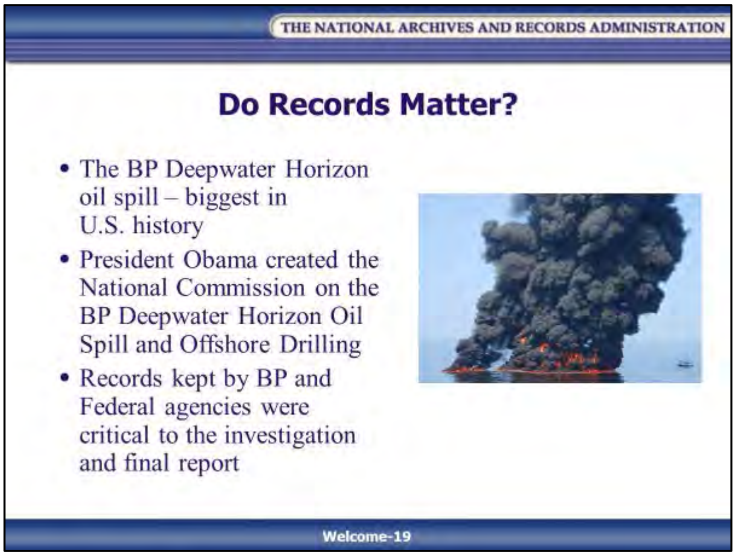
Do Records Matter?

Slide Welcome-19



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Do Records Matter?

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

Welcome-19

Here is an example of a high-profile incident where good records management aided in the investigation. Records held by British Petroleum (BP), the National Archives, and Federal agencies allowed the National Commission on the BP Deepwater Horizon Oil Spill and Offshore Drilling to complete a thorough investigation the biggest oil spill in U.S. history. The investigation led to recommendations that will help prevent similar accidents in the future. Imagine how difficult the Commission's job would have been without those records.

- British Petroleum (BP) Oil Spill Investigation – The BP-Deepwater Horizon oil spill, the worst in U.S. history, began after a rig explosion aboard the Deepwater Horizon in the Gulf of Mexico on April 20, 2010. Eleven workers died.
- On May 22, 2010, President Barack Obama created the National Commission on the BP Deepwater Horizon Oil Spill and Offshore Drilling

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- The Commission reviewed thousands of pages of documents from dozens of government agencies, private companies, and other entities and interviewed hundreds of witnesses from these same agencies, companies, and entities. Records from four major Federal agencies – the Chemical Safety Board, the Coast Guard, the Department of Energy, and the Department of Interior were reviewed during the Commission's investigation and in the creation of its final report. Additional records from the Departments of Energy and Interior, in the holdings of the National Archives, were also reviewed by the Commission. All of the Commission's files were sent to the Department of Energy for research, and they will be transferred to the National Archives at a later date.

For more information on the National Commission on the BP Deepwater Horizon Oil Spill and Offshore Drilling, go to *digital.library.unt.edu/ark:/67531/metadc132999/*.

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Participant Guide
January 2017

Knowledge Area 1: Records Management Overview

Module 1: People

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Introduction and Objectives

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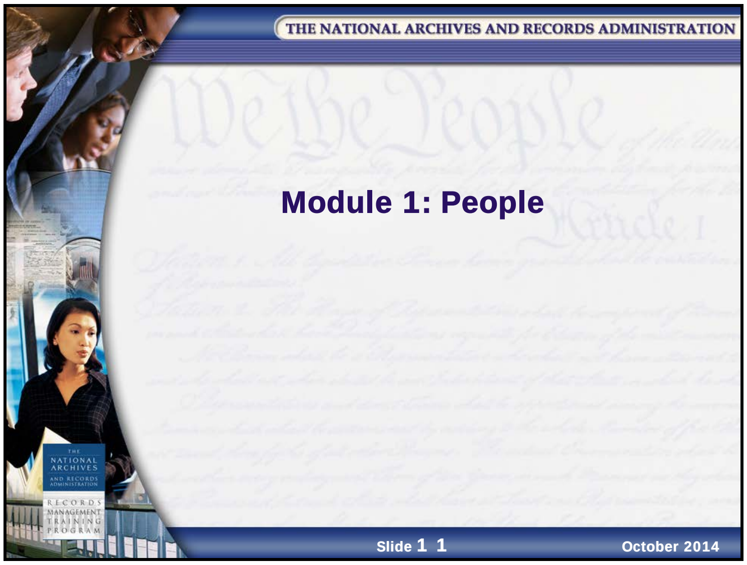

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Module 1: People

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RECORDS MANAGEMENT TRAINING PROGRAM

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October 2014

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Objectives

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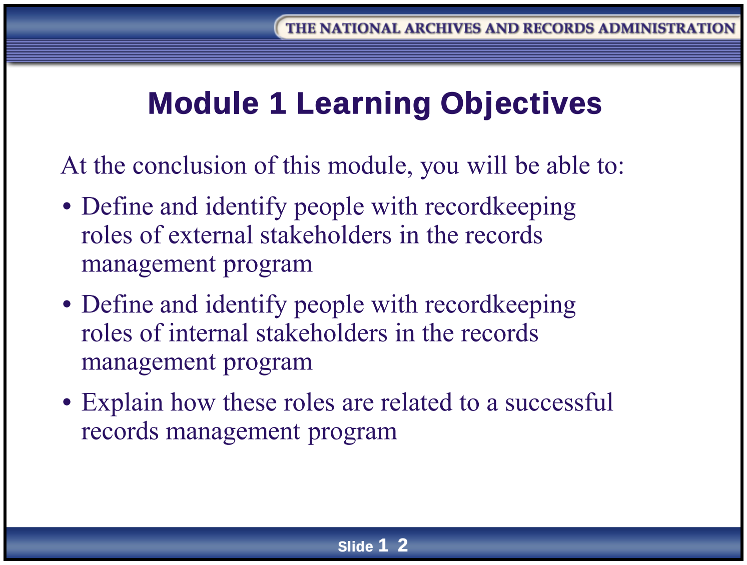

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Module 1 Learning Objectives

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

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

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Lesson 1: Records Management Stakeholders

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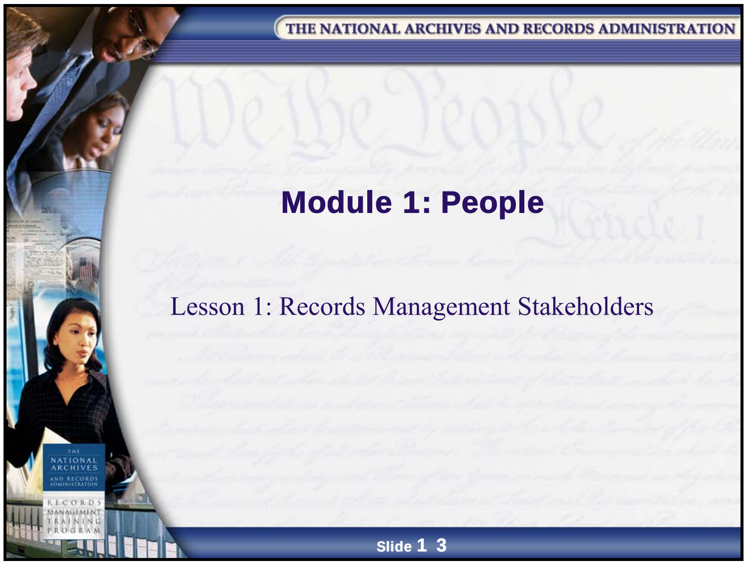

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Module 1: People

Lesson 1: Records Management Stakeholders

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
RECORDS MANAGEMENT TRAINING PROGRAM

"Records are the foundation of open government, supporting the principles of transparency, participation, and collaboration. Well-managed records can be used to assess the impact of programs, to improve business processes, and to share knowledge across the government. Records protect the rights and interests of people, and hold officials accountable for their actions."

Presidential Memorandum "Managing Government Records,"
dated November 28, 2011.

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Records Management Stakeholders

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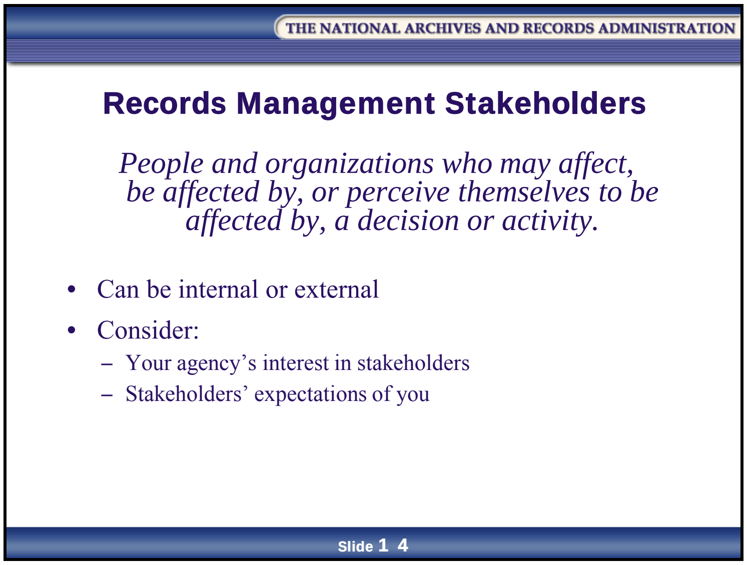

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Records Management Stakeholders

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

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

Who is responsible for managing Federal records and information?

The Presidential and Federal Records Act (PFRA), as codified in Title 44 of the United States Code (U.S.C.) 3101 and 3102, places responsibility on agencies to create and preserve records that adequately document their missions and functions, policies, procedures, decisions, and transactions. While the records staff handles much of the work of preserving records, there are additional people in the agency who are also responsible for records management. They are called stakeholders.

Stakeholders can be broadly defined as people and or programs who may affect, be affected by, or perceive themselves to be affected by a decision or activity.

NOTES

Stakeholders are both internal and external. Internal stakeholders include the General Counsel, Inspector General, and other business units in the agency. External stakeholders include clients, customers, public lobby groups, business partners, regulators, and those regulated by the agency.

Whether internal or external, stakeholders are part of your business and social context, and may be a source of accountability requirements and expectations. An effective Agency Records Officer (ARO) must manage and understand the interest of every stakeholder.

Although not everyone is directly responsible for the records management program, everyone has an interest in records. Everyone needs to ensure access to records, to document agency decisions and actions, to preserve essential evidence and guarantee its authenticity.

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Roles of Records Management Stakeholders

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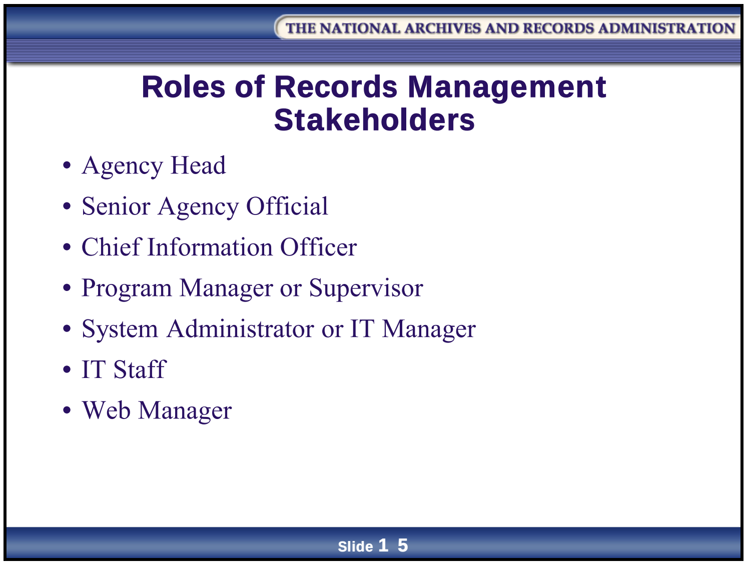

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Roles of Records Management Stakeholders

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

The National Archives and Records Administration is an external stakeholder. NARA plays a key role in offering guidance and procedures for managing Federal records, and without our role, most records cannot be scheduled, transferred for intermitted storage, or transferred to the custody of NARA.

Agency Head

The PFRA of 2014, as amended, states that the Agency Head is responsible for the entire records management program in the agency, but normally delegates this responsibility to the Senior Agency Official (SAO) or Chief Information Officer (CIO). The head of each Federal agency shall:

- Make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency and designed to furnish the information necessary to protect the legal and financial rights of the government and of persons directly affected by the agency's activities (44 U.S.C. 3101)
- Establish and maintain an active, continuing program for the economical and efficient management of the **records** of the agency (44 U.S.C. 3102)

NOTES

- Establish safeguards against the removal or loss of records and make requirements and penalties known to agency officials and employees (44 U.S.C. 3105)
- Notify the Archivist of any actual, impending, or threatened unlawful destruction of records and assist in their recovery (44 U.S.C. 3106)

Senior Agency Official (SAO)

- Ensures that the department or agency efficiently and appropriately complies with all applicable records management statutes, regulations, and NARA policy
- Coordinates with the ARO and appropriate agency officials to ensure the agency's compliance with records management statutes and regulations
- Ensures permanent records that have been in existence for more than 30 years are identified for transfer and reported to NARA
- Sends a single annual report to the Chief Records Officer of the U.S. Government

Chief Information Officer (CIO)

- Serves as the agency official responsible for the information resources management (IRM) program. The CIO is responsible for managing information resources to accomplish agency missions, which encompasses information itself and related resources, or assets, such as personnel, equipment, funds, and information technology (IT).
- Coordinates with the ARO to ensure that the design and implementation of the agency's information systems incorporate Federal and agency records management requirements

Program Manager (PM) or Supervisor

- Ensures that the office has a designated Records Custodian who coordinates the office's records management activities with the Records Liaison and others
- Ensures that the staff receives basic records management training and guidance
- Ensures that the staff creates and maintains records documenting the office's program and administrative activities
- Works with the Records Custodian to make sure that all the office's records are listed in the office file plan and described accurately in the agency's records schedule
- Reviews and implements the office file plan annually
- Instructs staff to not mix personal papers and nonrecord materials with Federal records, including personal email, and to not remove records from the office without proper authorization
- Implements procedures to prevent departing employees from destroying ineligible records or removing records from the agency's custody

NOTES

- Ensures that the Records Custodian follows the agency's records schedule in carrying out the disposition of the office's records
- Cooperates with the Records Custodian, the Records Liaison, and the ARO in efforts to promote and evaluate the office's records management activities
- Is responsible for a program's overall records management activities and is therefore a source of information for records creation and maintenance

System Administrator or Information Technology Manager

- Serves as the person primarily responsible for managing an information system
- Works with the ARO, Records Liaison, Records Custodian, and others to ensure that the design and implementation of an electronic system incorporate Federal and agency records management requirements

Information Technology (IT) Staff

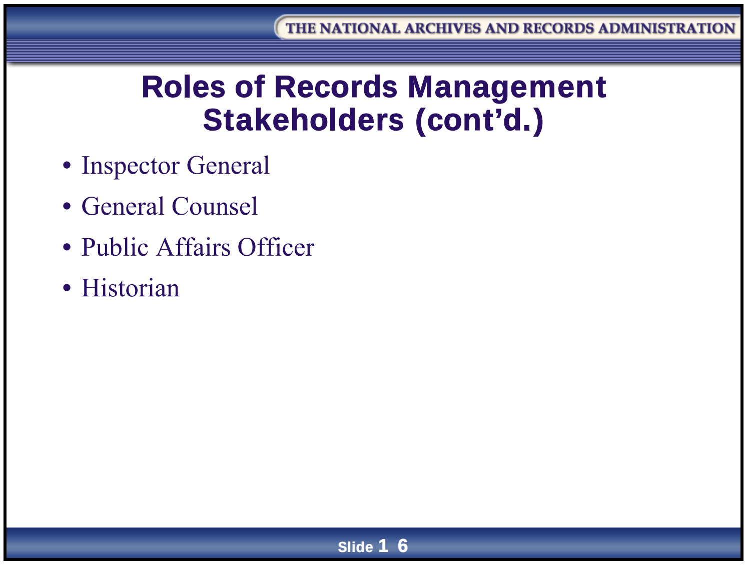
- IT staff responsibilities vary greatly in task and title. Regardless of where they are placed within the agency, they can be:
  - Application, Development, and System Programmers
  - Network and Infrastructure Engineers and Specialists
  - Security Specialists
  - Operations Personnel
  - PC Support, Help Desk
  - IT Management and Planning
  - IT Procurement and Vendor Relations Specialists
  - IT Administrative Support Staff

Web Manager

- Serves as the person primarily responsible for managing the webpages to assure compliance with agency directives. The Web Manager usually is not the person responsible for creating webpage content.
- Works with the ARO, Records Custodian(s), and others to ensure that the Web Page Content Managers understand and adhere to Federal and agency recordkeeping requirements

NOTES

Slide 1-6



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Roles of Records Management Stakeholders (cont’d.)

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

Slide 1 6

Inspector General (IG)

- Serves as the official responsible for monitoring agency programs and operations to prevent and reduce waste and fraud, and to improve agency management
- Coordinates with the ARO and others regarding any recordkeeping deficiencies identified during inspections and investigations
- Assists in determining the retention period of agency records that might be needed for internal audit purposes

General Counsel (GC)

- Serves as the official responsible for providing legal advice and assistance to agency officials and employees
- Provides advice to the ARO and others regarding the legal value of the agency’s records and the issue of public access to them

NOTES

Public Affairs Officer

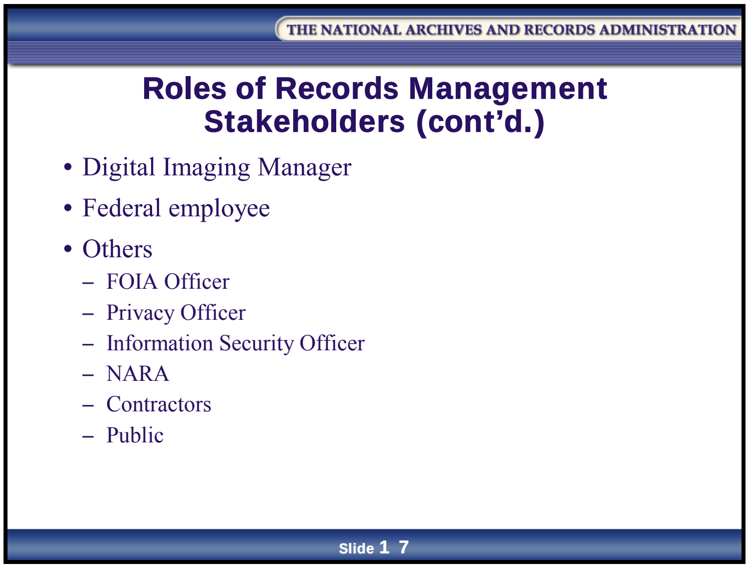
- Serves as the official responsible for coordinating information being released to the public, such as news releases, speeches by high-level officials, media presentations, appearances of agency representatives at public events, etc. The Public Affairs Officer may be responsible for coordinating the content of public websites.
- Works with the ARO and Records Liaison to ensure that release of information is in compliance with Federal and agency public affairs directives

Historian

- Serves as the official responsible for writing historical narratives of agency activities
- Provides advice to the ARO on what agency records are likely to have long-term or permanent value

NOTES

Slide 1-7



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Roles of Records Management Stakeholders (cont'd.)

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

Digital Imaging Manager

- Serves as the official responsible for directing the agency's imaging operations, or monitoring contractors who scan records for the agency
- Cooperates with the ARO to ensure that the agency's scanned records comply with Federal records management policies and procedures and agency requirements

Federal Employee

- Receives basic records management training and guidance from the office's Records Custodian, Records Liaison, or ARO
- Recognizes that the office's records are government property and consist of recorded information (documentary materials) required by law or used to conduct agency business
- Creates and maintains records documenting office activities
- Cooperates with the Records Custodian to ensure that all records are listed in the office file plan and described accurately in the agency's records schedule
- Does not mix personal papers and nonrecord materials with Federal records, including emails
- Cooperates with the Records Custodian in transferring eligible records to a Records Center and permanent records to NARA

NOTES

- Cooperates with the Records Custodian in destroying records only as authorized
- Avoids removing records from the office without proper authorization
- Manages records when teleworking

While agency management is ultimately responsible, **every single Federal employee** and contractor is responsible for the records they create.

Others

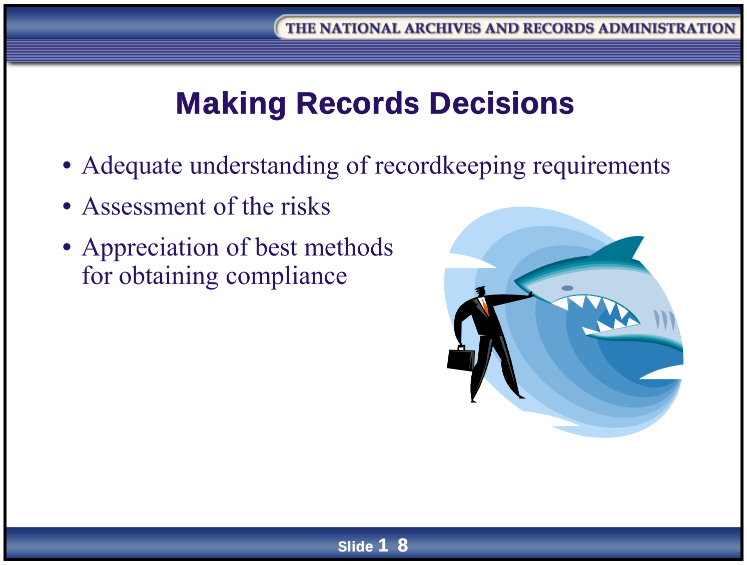
- Freedom of Information Act Officer (FOIA)
- Privacy Officer
- Information Security Officer
- NARA
- Contractors
- Public

Records management should not be viewed as the sole domain of the ARO. All employees and contractors play a role in generating a successful records management program.

NOTES

Making Records Decisions

Slide 1-8



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Making Records Decisions

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

Chief executive officers, senior managers, information professionals, and employees make choices every day as stakeholders. All stakeholders should have:

- Adequate understanding of the organization’s recordkeeping requirements
- Assessment of the risks of failing to meet such requirements
- Appreciation of the most appropriate methods for obtaining organizational compliance

NOTES

Lesson Summary

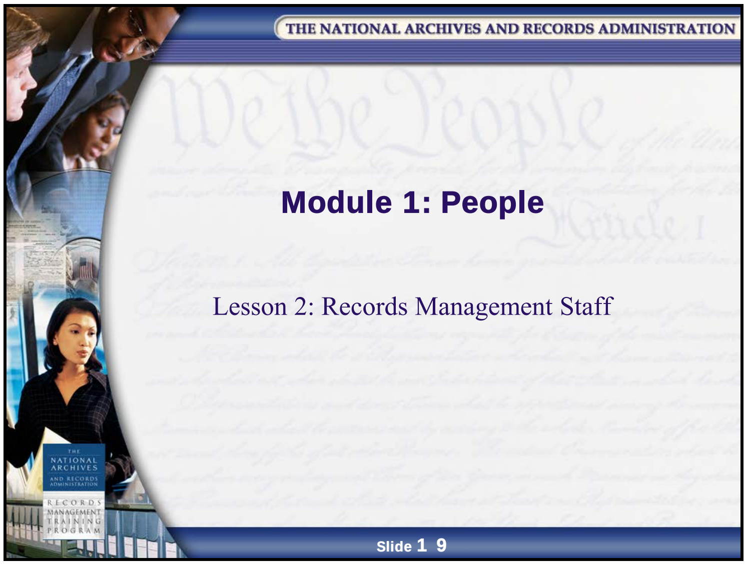
In this lesson, you learned that:

- Everyone is responsible for managing Federal records
- Records are found everywhere in an agency, and often flow from one area to another, so it is important to view records management as a **core** function that cuts across agency lines

NOTES

Lesson 2: Records Management Staff

Slide 1-9



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Module 1: People

Lesson 2: Records Management Staff

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
RECORDS MANAGEMENT TRAINING PROGRAM
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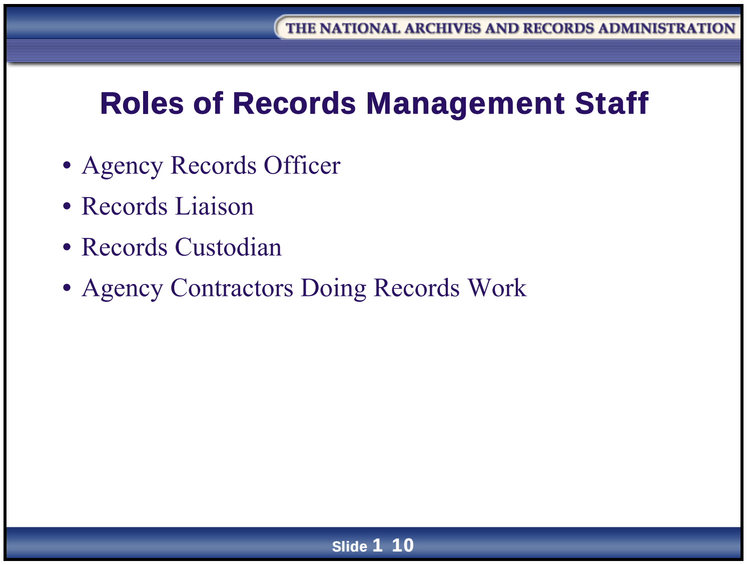
While everyone is affected by how records are managed, certain people are designated as records management staff. For some people, records management is a full-time duty, while for others it is only a collateral duty. In this lesson, we will discuss records management staff responsibilities.

NOTES

Roles of Records Management Staff

Slide 1-10



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Roles of Records Management Staff

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

Slide 1 10

Agency Records Officer (ARO)

- Serves as the official responsible for overseeing the agency's records management program
- Ensures that the agency has an up-to-date records management directive
- Creates and maintains a network of Records Liaisons responsible for overseeing the program in headquarters and field offices in cooperation with the ARO
- Serves as the primary agency official who coordinates records management matters with NARA and other oversight agencies
- Coordinates the development of a records schedule with NARA, IT, program, and agency officials. The records schedule identifies records as either temporary or permanent. All records schedules must be approved by NARA.

NOTES

- Coordinates matters relating to records management with the agency's:
  - FOIA and Privacy Act Official(s)
  - IT Official
  - System Administrators
  - Program Managers
  - Inspector General
  - General Counsel
  - Public Affairs Officer
  - Web Manager
  - Agency Historian
  - Digital Imaging Manager
- Coordinates with program officials responsible for special media, such as audiovisual records, electronic records, cartographic and architectural records, and printed records
- Ensures that recordkeeping requirements are established, implemented, and periodically updated for all offices at all levels and for all record media, including electronic and other special media records

Records Liaison

- Coordinates the records management activities of a major component, whether at headquarters or in regional offices
- Serves as the primary component official who coordinates records management matters with the regional NARA office and any other local oversight agencies
- Coordinates changes to the records schedule with the ARO and local Program Managers

NOTES

- Coordinates matters relating to records management with the component's:
  - FOIA and Privacy Act Official(s)
  - IT Officials
  - System Administrators
  - Program Managers
  - Inspector General
  - General Counsel
  - Public Affairs Officer
  - Web Manager
  - Agency Historian
  - Digital Imaging Manager
- Coordinates with program officials responsible for other special media, such as audiovisual records, electronic records, cartographic and architectural records, and printed records
- Ensures that component recordkeeping procedures are established, implemented, and periodically updated for all offices at all levels and for all record media, including electronic and other special media records
- Coordinates with the ARO to report that each office within the component has a designated records custodian
- Ensures that each office creates and maintains records documenting its program and administrative activities
- Works with Records Custodians to make sure that all the records of each office are listed in the office file plan and are described accurately in the agency's records schedule
- Works with Records Custodians to ensure the transfer of eligible records to a records center, the prompt disposal of temporary records when their retention periods expire, and the timely transfer of permanent records to NARA

NOTES

Records Custodian

- Has assigned responsibility within a particular office for records management matters and complies with guidance issued by the Records Liaison or the ARO
- Makes sure that all the office's records are listed in the office file plan and are described accurately in the agency's records schedule. Checks with the Records Liaison or the ARO for assistance
- Follows the agency's records schedule to ensure the proper disposition of the office's records, including:
  - Systematic file cutoffs (breaks)
  - The retirement of eligible records to a records center
  - The prompt disposal of temporary records when their retention periods expire
  - The timely transfer of permanent records to NARA
- Assists the Program Manager in reminding the staff not to mix personal papers and nonrecord materials with Federal records, and not to remove or delete records from the office without proper authorization
- Assists the Program Manager in implementing procedures to prevent departing employees from destroying ineligible records or removing records from the agency's custody
- Cooperates with the Records Liaison and the ARO in periodic evaluations of the office's records

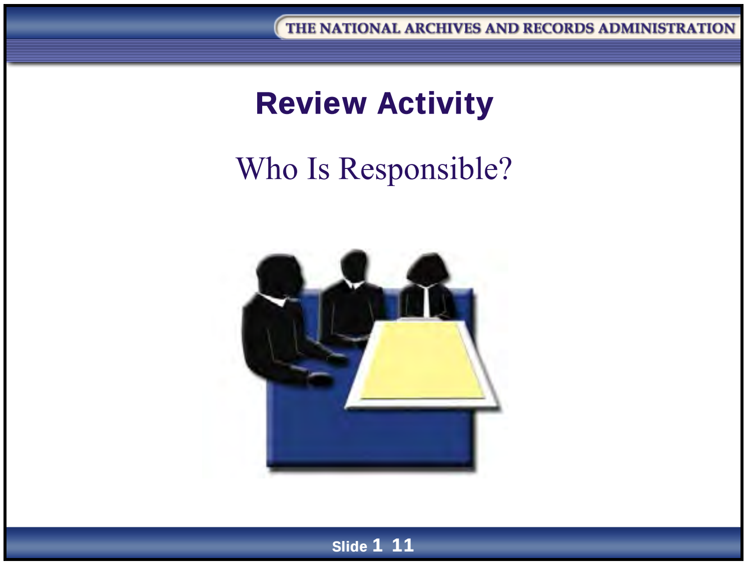
Agency Contractors Doing Records Work

- May support the ARO, Records Liaisons, and Records Custodians in their duties

NOTES

Review Activity: Who Is Responsible?

Slide 1-11



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Review Activity

Who Is Responsible?

Slide 1 11

NOTES

Table 1-3: Who Is Responsible? Worksheet

ACTION	(ANSWERS) WHO IS RESPONSIBLE?
1. Coordinates with the ARO to ensure that the agency's information systems incorporate records management requirements	
2. Receives basic records management training and guidance from the office's Records Custodian, Records Liaison, or ARO	
3. Recognizes that the office's records are government property and consist of recorded information (documentary materials) required by law or used to conduct agency business	
4. Cooperates with the records custodian in destroying records only as authorized in the agency's records schedule	
5. Serves as the official responsible for monitoring agency programs and operations to prevent and reduce waste and fraud, and to improve agency management	
6. Is responsible for overseeing the agency's records management program	
7. Works with NARA and other oversight agencies	
8. Serves as the official responsible for providing legal advice and assistance to agency officials and employees	
9. Works under the Records Liaison and has responsibility within a particular office	
10. Assists Program Managers	
11. Is responsible for the entire records management program, but normally delegates to the ARO	
12. Ensures that the staff receives basic records management training and guidance	
13. Serves as the person primarily responsible for managing the webpages within a component	
14. Coordinates the records management activities of a major component, whether at headquarters or in the regional offices	
15. Coordinates with the ARO	
16. Works with Records Custodians	
17. Works with the Records Liaison, Records Custodian, and others to ensure that the design and implementation of the system incorporate Federal and agency recordkeeping laws and regulations	
18. Ensures that permanent records that have been in existence for more than 30 years are identified for transfer and reported to NARA.	

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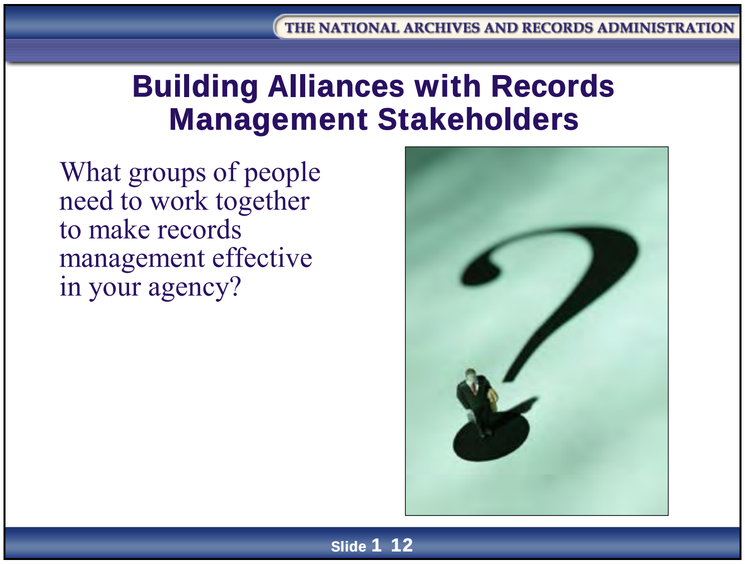
Building Alliances with Records Management Stakeholders

Slide 1-12



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Building Alliances with Records Management Stakeholders

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

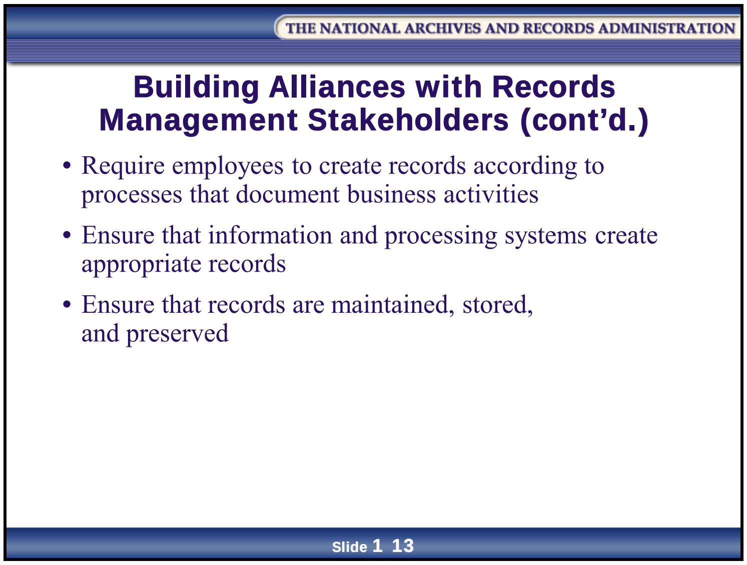
Slide 1 12

In the modern office, no one can develop and promote a records management program in isolation.

It is vital to convince top management that the records management program will be beneficial to the agency and that it is critical to obtain their support. Building alliances with agency stakeholders are important steps towards ensuring the success of your records management program. You may work top-down or bottom-up or both – depending on your skills, agency culture, and personalities involved.

NOTES

Slide 1-13



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

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

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

Slide 1 13

One way to build alliances is to involve the stakeholders in establishing standard practices or business rules that:

- Require employees to create records according to business needs and business processes that document adequately the business activities in which they take part
- Ensure that information and processing systems that support business activities create appropriate records as part of supporting those activities
- Ensure that records, regardless of format, are maintained, stored, and preserved for the period of their usefulness to the agency and, if appropriate, to external stakeholders

NOTES

To help you, NARA offers guidance for building an effective enterprise-wide records management governance structure that:

- Defines governance and its importance to the success of IT, the purpose and function of that governance, and how project-specific governance (such as that instituted for enterprise-wide Electronic Records Management (ERM) fits within and alongside other established governance structures
- Defines the risks associated with the lack of proper governance

Guidance for Building An Effective Enterprise-wide Electronic Records Management Governance Structure can be found at *archives.gov/records-mgmt/policy/governance-guidance.html*.

NOTES

Lesson Summary

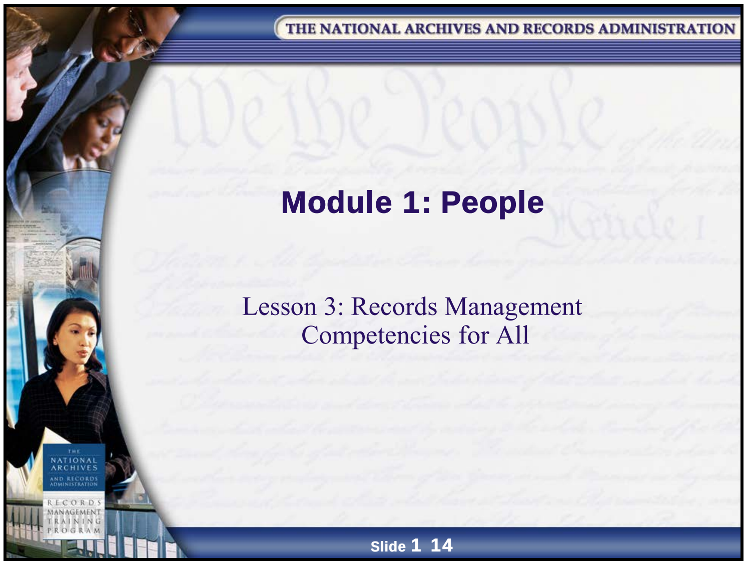
In this lesson, you learned:

- The roles and responsibilities of records management staff
- The importance of building alliances with IT, Program Managers, and legal staff, as well as with the records users themselves

NOTES

Lesson 3: Records Management Competencies for All

Slide 1-14



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Module 1: People

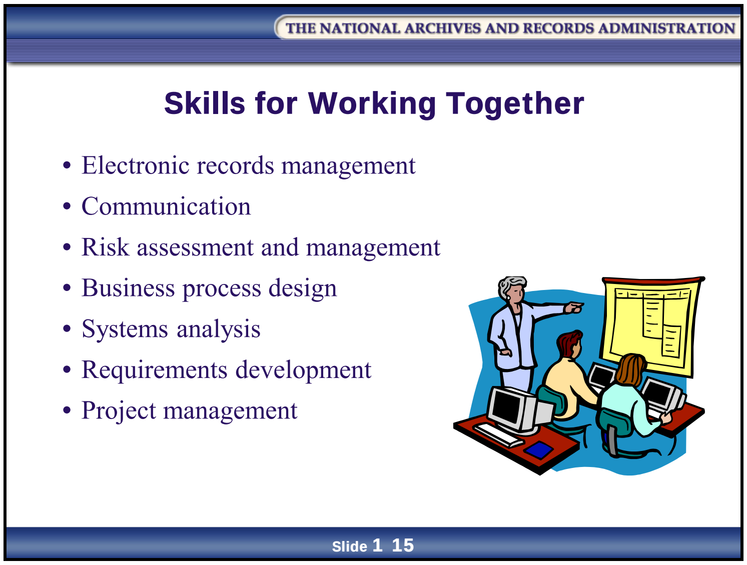
Lesson 3: Records Management Competencies for All

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
RECORDS MANAGEMENT TRAINING PROGRAM

NOTES

Skills for Working Together

Slide 1-15



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Skills for Working Together

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

Slide 1 15

AROs are not alone in needing new skills to face today’s records management challenges. Because of the technology we currently use in creating, maintaining, and disposing of Federal records, we must now look at records management competencies for every employee.

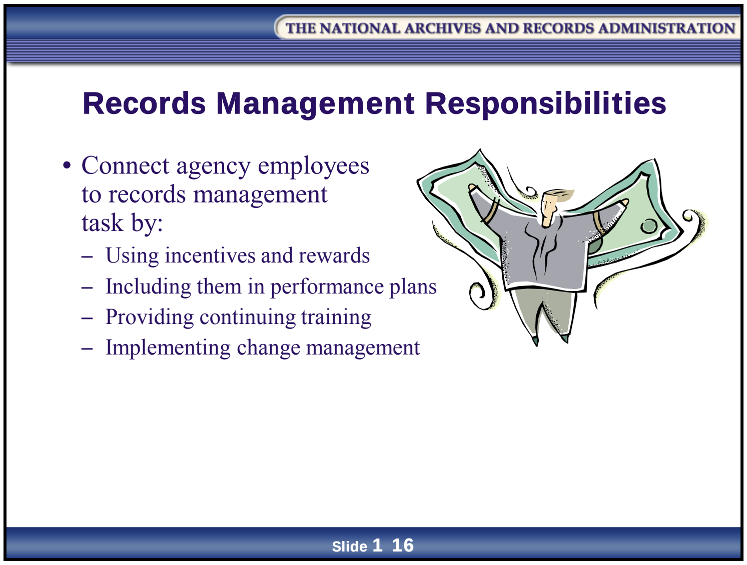
The following list identifies the core subject competencies and training agency staff may need:

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

NOTES

Records Management Responsibilities

Slide 1-16



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Records Management Responsibilities

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

Slide 1 16

One way to handle the issue of who is responsible for records management tasks is to create records management duties and responsibilities for all position descriptions throughout the agency and suggest that they be part of:

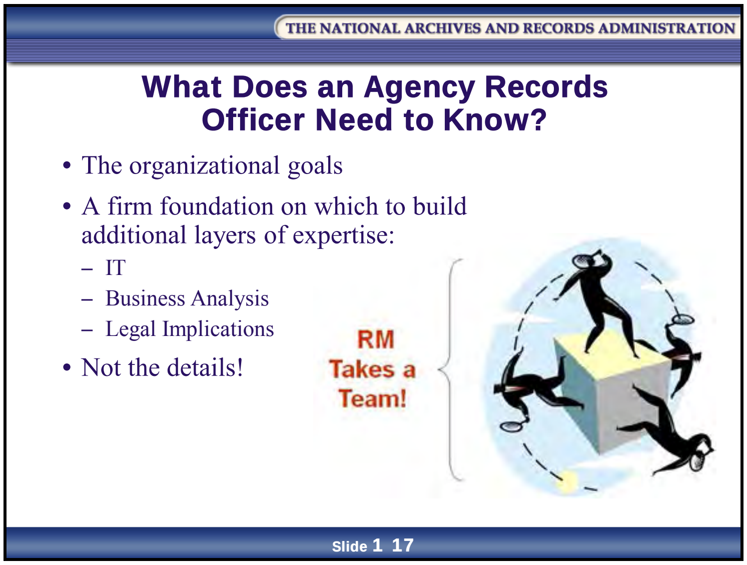
- Incentives and rewards
- Performance plans
- Continuous training
- Change management

By the end of this course, you will have a clearer understanding of why the competencies listed on the previous page are needed in records management work. These competencies will allow records management staff to build the necessary alliances with all agency staff and to improve records management agency-wide.

NOTES

What Does an Agency Records Officer Need to Know?

Slide 1-17



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

What Does an Agency Records Officer Need to Know?

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

RM Takes a Team!

AROs need to develop subject area competencies to properly advise their organizations effectively. Knowledge of key IT, business analysis and legal implications are critical to managing a successful records management program:

- **IT** – The ARO should be familiar with how records management intersects with IT responsibilities, and be able to help IT incorporate records management requirements into all systems development. The ARO should be able to advise IT on functional requirements of all recordkeeping systems.
- **Business Analysis** – The ARO should be able to provide advice from a policy perspective on records management issues as they relate to the organization’s business processes and records regulations
- **Legal Implications** – The ARO must work with General Counsel to ensure that records management is in compliance with current laws and regulations

The constantly changing technical, business, and legal environments require continuous learning by AROs. Working as a team with colleagues in these areas will also be critical.

NOTES

Lesson Summary

In this lesson, you learned that:

- Core competencies and skills are needed for the management of records in the 21st century
- Building alliances, incorporating incentives, and continuous records management training for all employees will make everyone accountable for their roles and responsibilities

NOTES

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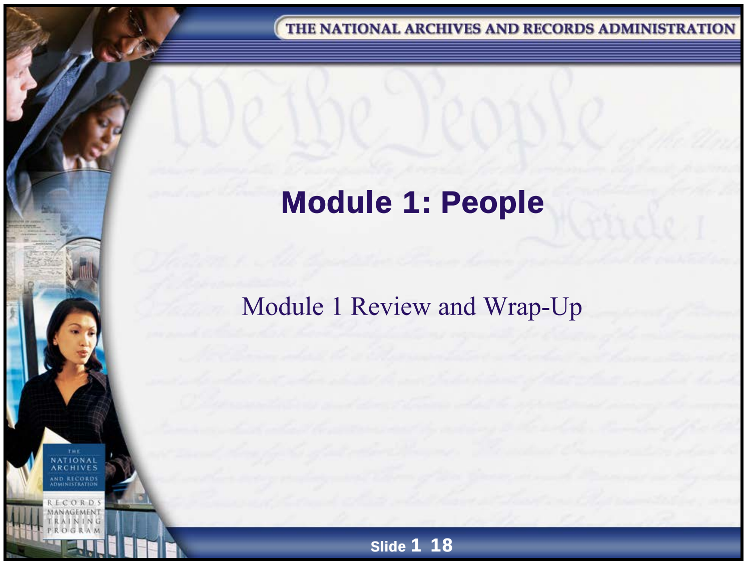
NOTES

Module 1 Review and Wrap-Up

Slide 1-18



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Module 1: People

Module 1 Review and Wrap-Up

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
RECORDS MANAGEMENT TRAINING PROGRAM

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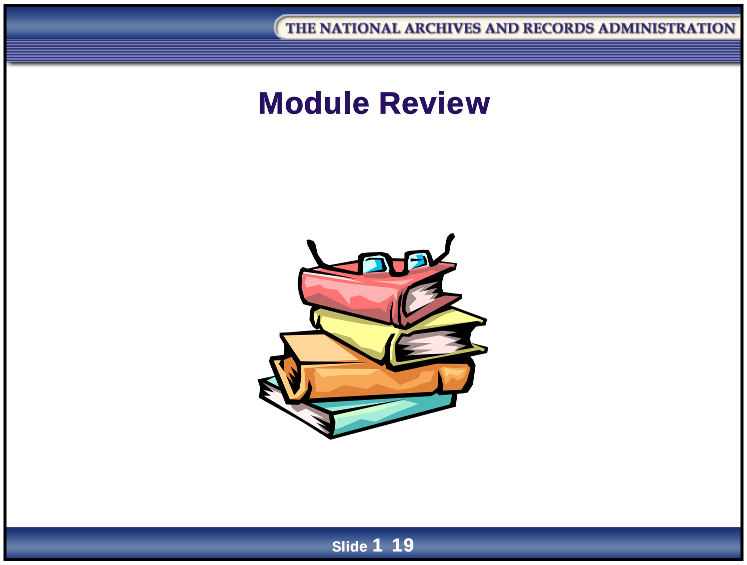
NOTES

Module Review

Slide 1-19



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Module Review

Slide 1 19

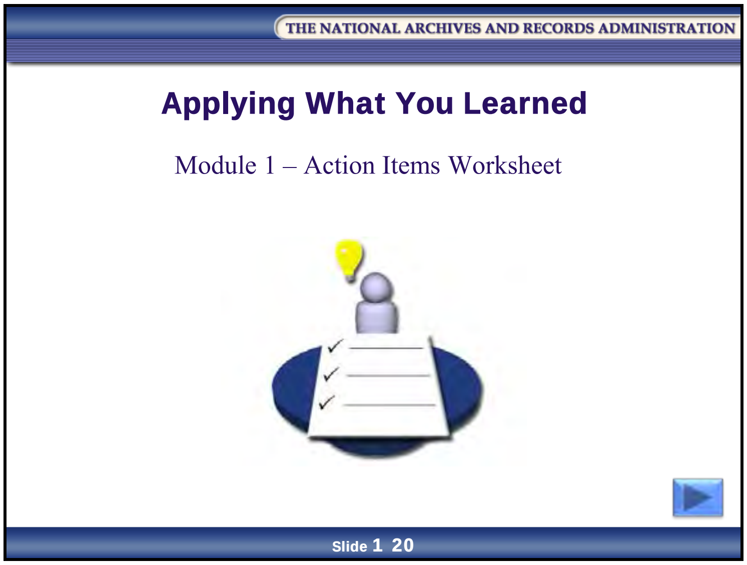
In Module 1, you learned that:

- Recordkeeping roles exist inside and outside of the records management program
- Not everyone is responsible for the records management program, but everyone has an interest
- Records management is a functional activity that cuts across agency lines
- Core competencies for the management of records in the 21st century are needed by all records management stakeholders
- Incorporating incentives and training into career development and evaluation for all employees can make everyone responsible

NOTES

Applying What You Learned

Slide 1-20



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Applying What You Learned

Module 1 – Action Items Worksheet

Slide 1 20

Reflect upon what you have learned in Module 1 and how you will apply it to your job.

NOTES

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NOTES

Module 1 – Action Items Worksheet

What did I learn about records management roles and responsibilities? List at least one thing you learned about records management roles and responsibilities within your organization.
How will I apply what I learned to my job? List at least one thing you learned in this module that you will apply to your job, and explain how you will apply it.
What “aha!” moments did I have during this module? List any “aha!” moments you experienced during this module. (As an example: “Records management should not be viewed as solely the domain of records management staff!?! Aha!”)

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THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Participant Guide
January 2017

Knowledge Area 1: Records Management Overview

Module 2: Processes

THE
NATIONAL
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ADMINISTRATION
RECORDS
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PROGRAM

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Introduction and Objectives

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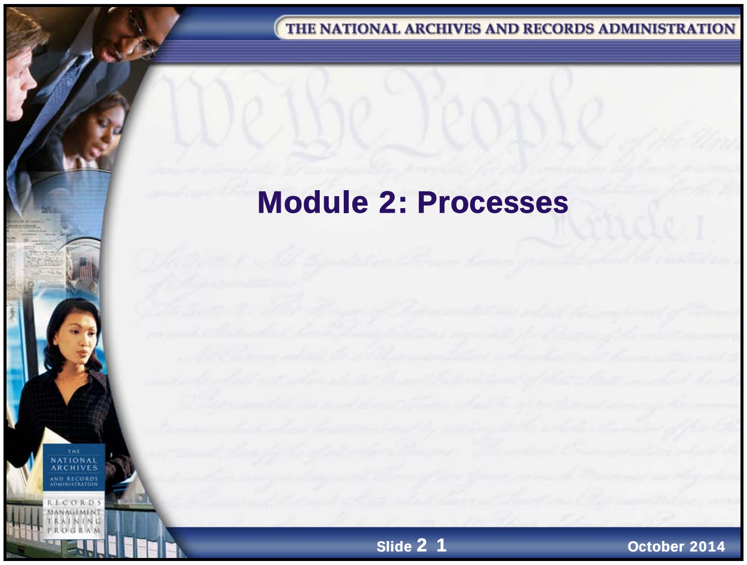


THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Module 2: Processes

Slide 2 1

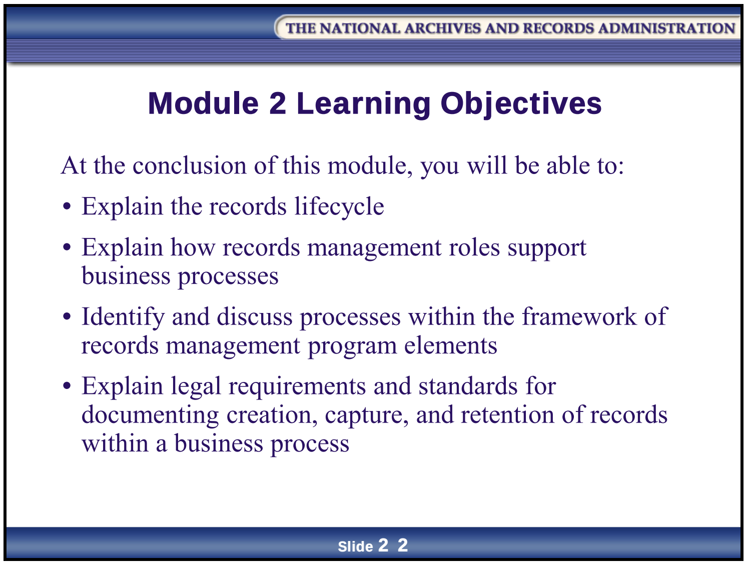
October 2014

Module 2 introduces the concept of how records pass through three stages: creation, maintenance and use, and final disposition – also known as the **records lifecycle**. The module will also provide an overview of how processes relate to and involve stakeholders and Agency Records Officers (AROs). We will also discuss how an organization creates and maintains authentic, reliable, and usable records by instituting a comprehensive records management program.

NOTES

Objectives

Slide 2-2



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Module 2 Learning Objectives

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

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

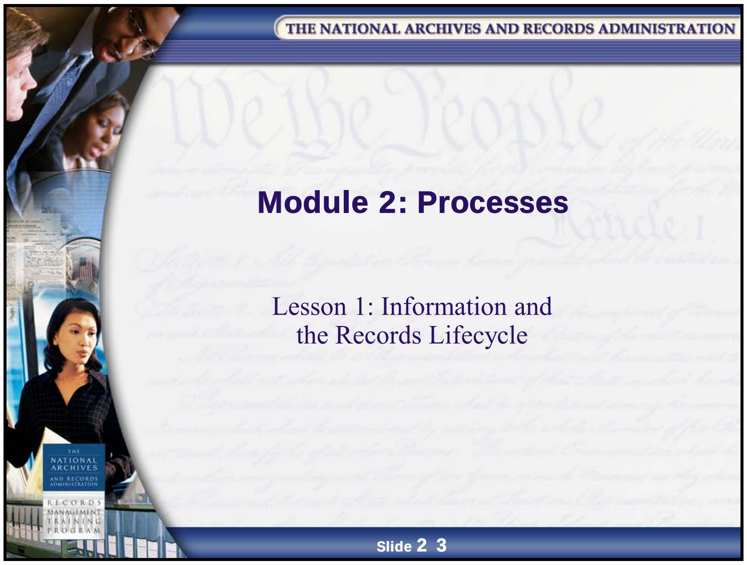
At the conclusion of this module, you will be able to:

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

NOTES

Lesson 1: Information and the Records Lifecycle

Slide 2-3



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Module 2: Processes

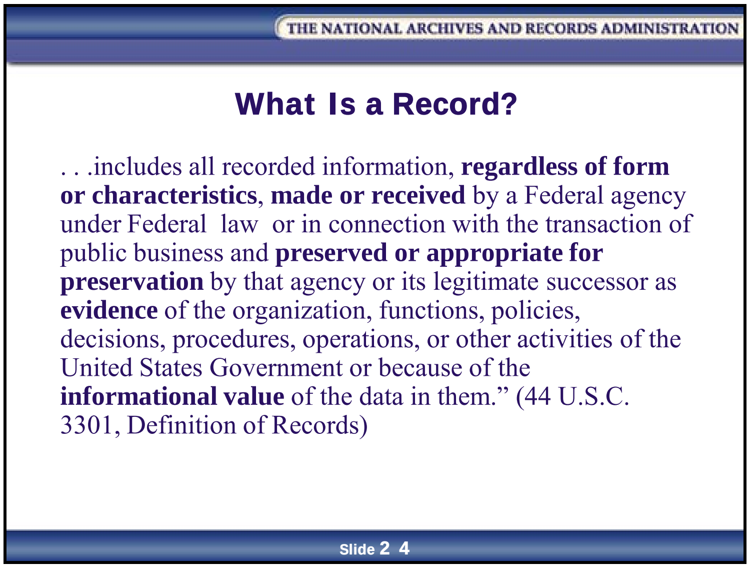
Lesson 1: Information and the Records Lifecycle

Slide 2 3

NOTES

What Is a Record?

Slide 2-4



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

What Is a Record?

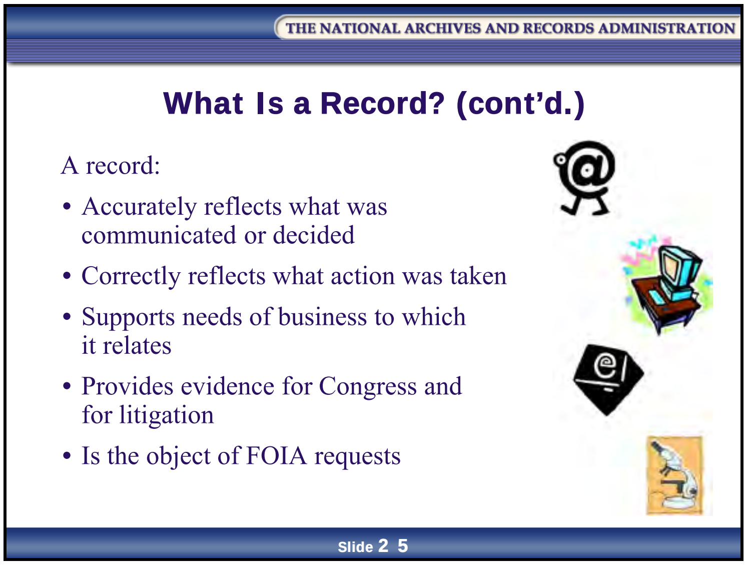
. . .includes all recorded information, **regardless of form or characteristics**, **made or received** by a Federal agency under Federal law or in connection with the transaction of public business and **preserved or appropriate for preservation** by that agency or its legitimate successor as **evidence**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

The Presidential and Federal Records Act (PFRA) Amendments of 2014 defines a record as:

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

NOTES

Slide 2-5



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

What Is a Record? (cont'd.)

A record:

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

Slide 2 5

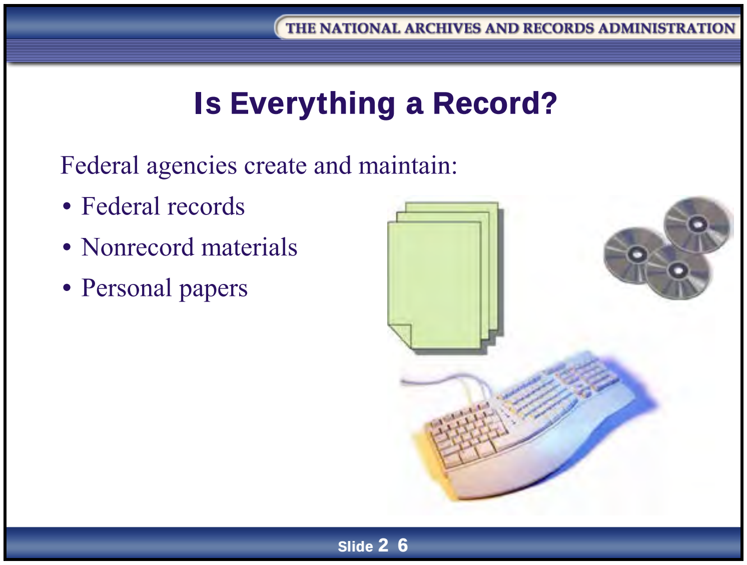
A record accurately reflects what was communicated or decided, or what action was taken. It supports the needs of the business to which it relates.

Furthermore, it must document your agency's actions for the public, providing evidence for Congress and even for litigation, and is the basis for, or object of, Freedom of Information Act (FOIA) requests.

NOTES

Is Everything a Record?

Slide 2-6



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Is Everything a Record?

Federal agencies create and maintain:

- Federal records
- Nonrecord materials
- Personal papers

Slide 2 6

What are nonrecord materials?

Nonrecord materials are any informational material excluded from the definition of records or not meeting the requirements of that definition. This includes extra copies of documents or electronic files kept only for convenience of reference, stocks of publications and of processed documents, and library or museum materials intended solely for reference or exhibition.

NOTES

Other nonrecord materials

Let’s look at a few more examples of nonrecord materials:

- **Library and museum material**: Material used solely for reference or exhibition purposes
- **Stocks of publications**: Extra copies, in large quantity, of documents printed or otherwise produced for wide distribution inside or outside an agency
    - Blank forms
    - Vendor catalogs
    - Drafts and worksheets
    - Professional journals
    - Copies of directives
    - Reference information on multiple webpages

What are personal papers?

Personal papers are documentary materials belonging to an individual that are not used to conduct agency business. They are related solely to an individual’s own affairs or used exclusively for that individual’s convenience. Personal papers must be clearly designated as such and kept separate from the agency’s records.

NOTES

Key issues to consider when determining a record

Creation

- Was the document or information created or received by an agency employee or contractor?

Content

- Does the document or information contain substantive information about agency business, or does it contain information on the employee's personal matters?
- If the document or information contain both, can the substantive agency information be segregated from any personal information?

Purpose

- What is the business purpose of the document or information?
- What business process is the document or information supporting?
- Why do you have the document or information?
- How is the document or information used?

Distribution

- Was the document or information distributed to other employees for an official purpose?

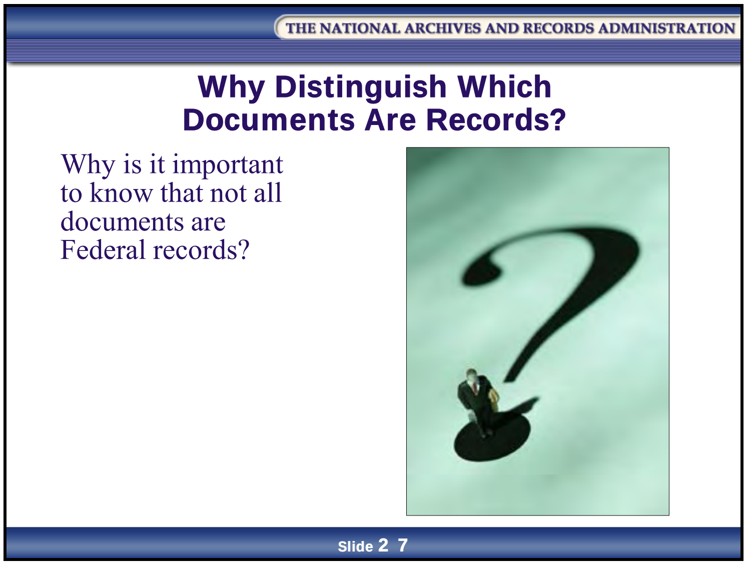
Maintenance

- Was the document or information properly placed in agency files if identified as agency records? Was the document or information kept in personal files if identified as personal papers?

NOTES

Why Distinguish Which Documents Are Records?

Slide 2-7



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Why Distinguish Which Documents Are Records?

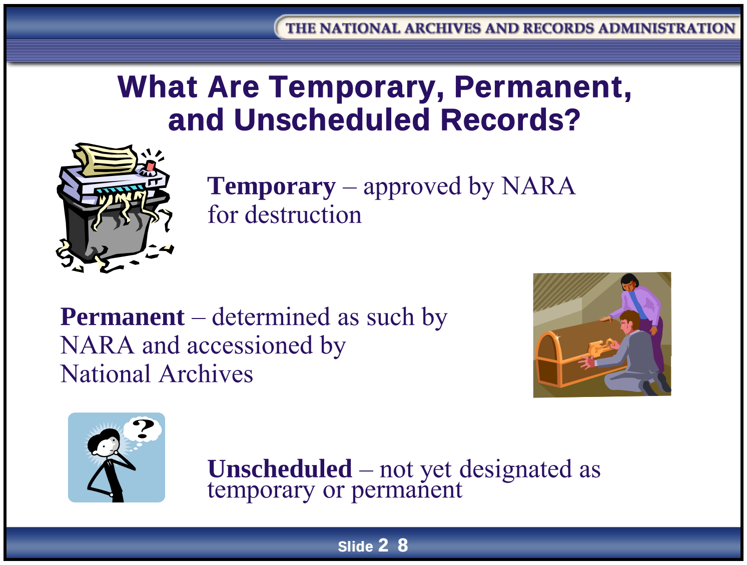
Why is it important to know that not all documents are Federal records?

Slide 2 7

NOTES

What Are Temporary, Permanent, and Unscheduled Records?

Slide 2-8



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

What Are Temporary, Permanent, and Unscheduled Records?

Temporary – approved by NARA for destruction

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

Unscheduled – not yet designated as temporary or permanent

Slide 2 8

Records are determined to be temporary or permanent by the Archivist of the United States.

- **Temporary Records** are records approved by NARA for destruction, either immediately or after a specified retention period. The majority of Federal records are temporary. Even if they are kept for 30 years, they will be destroyed eventually.
- **Permanent Records** are records determined by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time they are needed for agency's administrative, legal, or fiscal purposes. Permanent records will eventually be accessioned (legally and physically transferred) by the National Archives. Government-wide, about 2-5 percent of Federal records are permanent.

NOTES

For your agency, depending on its function, the number of permanent records may be higher or lower than that average. For example, about 80 percent of Department of Justice (DOJ) litigation case files are permanent, and about 25 percent of the FBI investigation case files are permanent.

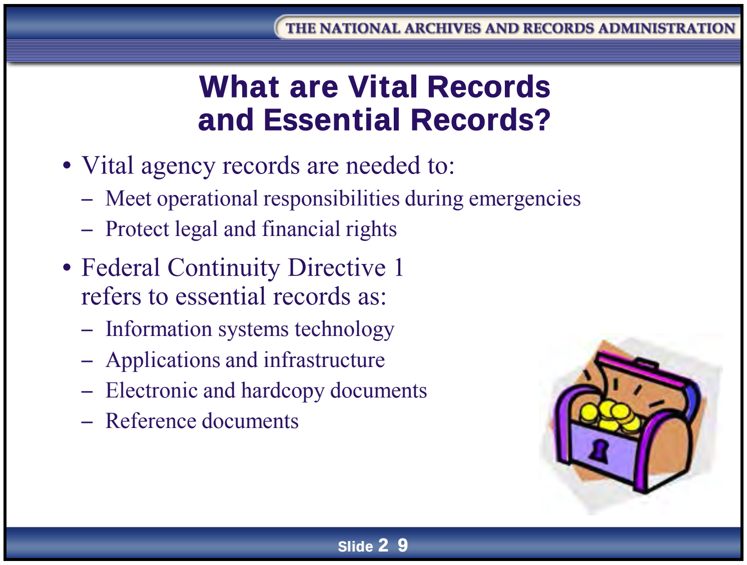
If records have not been approved as temporary or permanent, then they are considered unscheduled.

- **Unscheduled Records** are records that do not have an approved schedule. Unscheduled records are potentially permanent and must be maintained as permanent records. You may find unscheduled records when new programs are created or new systems developed. Unscheduled records may not be destroyed.

NOTES

What Are Vital Records and Essential Records?

Slide 2-9



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

What are Vital Records and Essential Records?

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

Slide 2 9

Vital Records

The identification and management of vital records is an essential part of a Federal agency’s emergency preparedness responsibility. Vital records as defined in 36 Code of Federal Records (CFR) 1223.2 are the essential agency records that are needed to meet operational responsibilities under national security emergencies or other emergency conditions (emergency operational records), or to protect the legal and financial rights of the government and those affected by government activities (legal and financial rights records).

- Vital records constitute a small percentage of all records (typically 1-7 percent)
- Management of vital records includes clear identification of the records, strategies for protecting the records, and procedures for ensuring their access and security under a variety of conditions

NOTES

Essential Records

Vital records are also known as essential records, as cited in Department of Homeland Security (DHS), Federal Emergency Management Agency (FEMA) Federal Continuity Directive (FCD) 1, January 2017. FCD 1 refers to essential records as the information systems technology, applications and infrastructure, electronic and hardcopy documents, references, and records needed to support the continued performance of essential functions during a continuity activation.

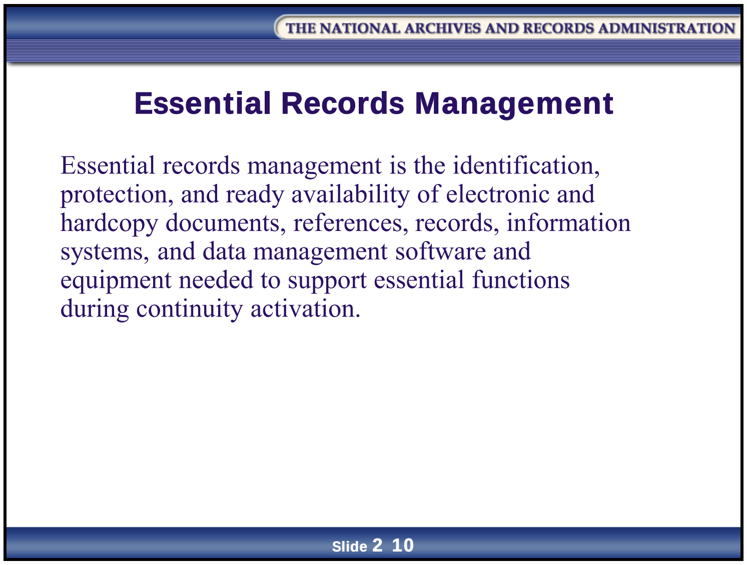
Categories of essential records include the following:

- **Emergency Operating Records** include records and databases essential to the continued functioning or the reconstitution of an organization during and after continuity activation
- **Rights and Interests Records** include records critical to carrying out an organization's essential legal and financial functions vital to the protection of the legal and financial rights of individual who are directly affected by that organization's activities

NOTES

Essential Records Management

Slide 2-10



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Essential Records Management

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

Slide 2 10

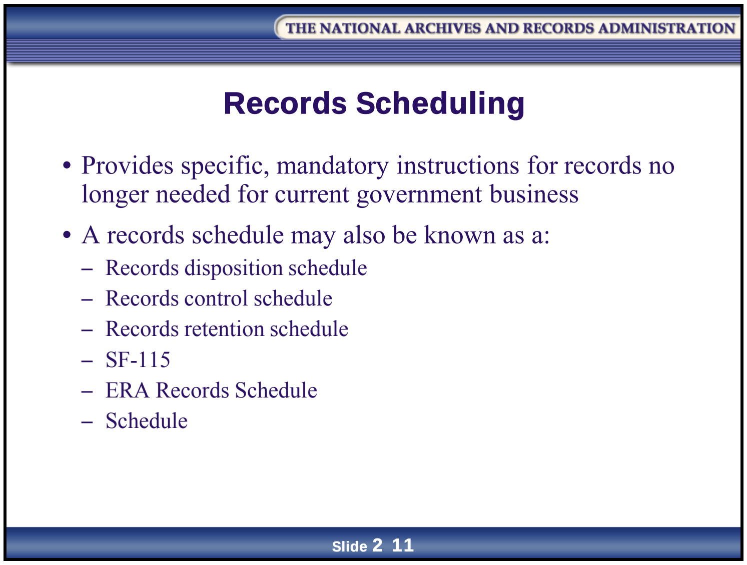
Essential records management is the identification, protection, and ready availability of electronic and hardcopy documents, references, records, information systems, and data management software and equipment (including classified and other sensitive data) needed to support essential functions during continuity activation. Access to and use of these records and systems enable the performance of essential functions and reconstitution to normal operations. To ensure performance of essential functions, organizations pre-position and regularly update these essential records.

For additional information, see the Department of Homeland Security, Federal Emergency Management Agency, Federal Continuity Directive 1 – Federal Executive Branch National Continuity Program and Requirements, January 2017 at *fema.gov/guidance-directives*.

NOTES

Records Scheduling

Slide 2-11



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Records Scheduling

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

Slide 2 11

Records scheduling is the process of developing a document – the records schedule – that provides the specific and mandatory instructions for what to do with records that are no longer needed for current government business. All Federal records must be scheduled so that by the end of the records lifecycle they are handled correctly – either destroyed at the specified time or transferred to the National Archives for permanent preservation.

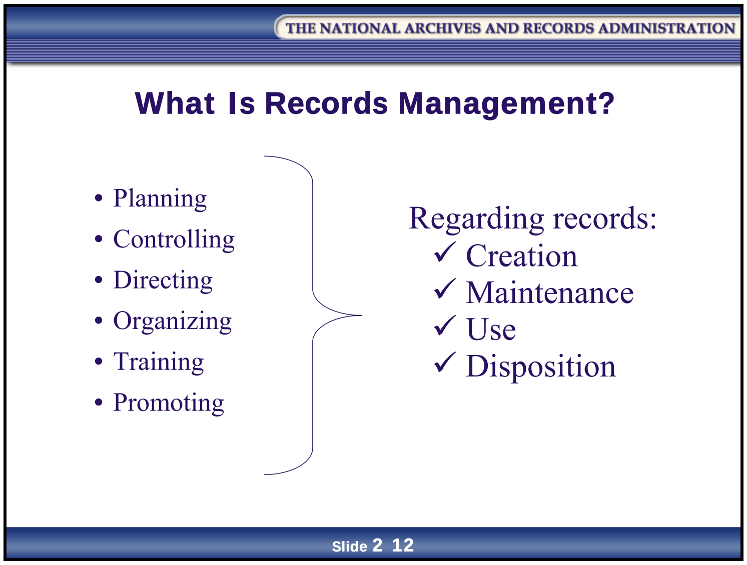
A records schedule is also called a records disposition schedule, a records control schedule, a records retention schedule, an SF 115, ERA Records Schedule, or simply a schedule.

The Records Control Schedule (RCS) Repository provides Federal agencies and the public with open access to a large body of unclassified, NARA approved legacy paper SF 115s and ERA Records Schedules. See *archives.gov/records-mgmt/rcs/*.

NOTES

What Is Records Management?

Slide 2-12



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

What Is Records Management?

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

Regarding records:
✓ Creation
✓ Maintenance
✓ Use
✓ Disposition

Slide 2 12

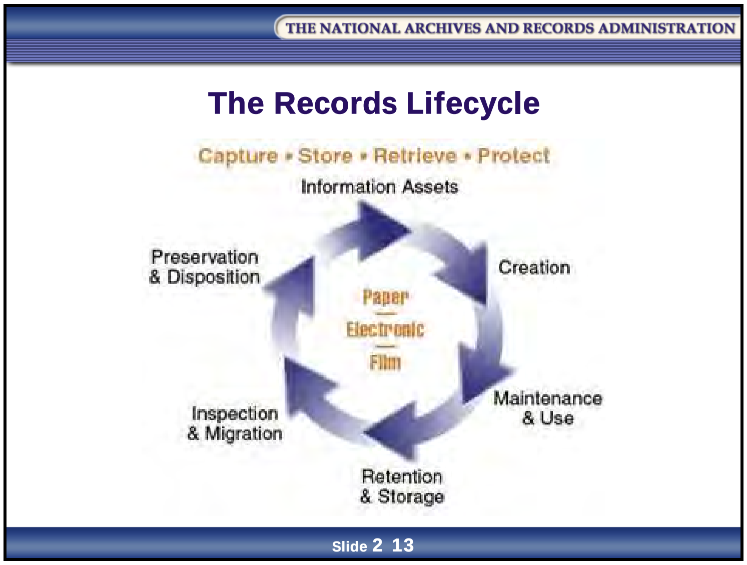
Records management is:

> "… planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition, in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations." (44 U.S.C. 2901(2))

NOTES

The Records Lifecycle

Slide 2-13



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

The Records Lifecycle

Capture • Store • Retrieve • Protect

Information Assets

Creation

Maintenance & Use

Retention & Storage

Inspection & Migration

Preservation & Disposition

Paper
Electronic
Film

Slide 2 13

We just learned that in Federal agencies, much of the information created or received is identified as a Federal record because it documents government activities – or because of the value of the data it contains.

Records and information are created, captured in some form, maintained, and ultimately destroyed or preserved for posterity. In the world of records management, this is known as the **records lifecycle.**

NOTES

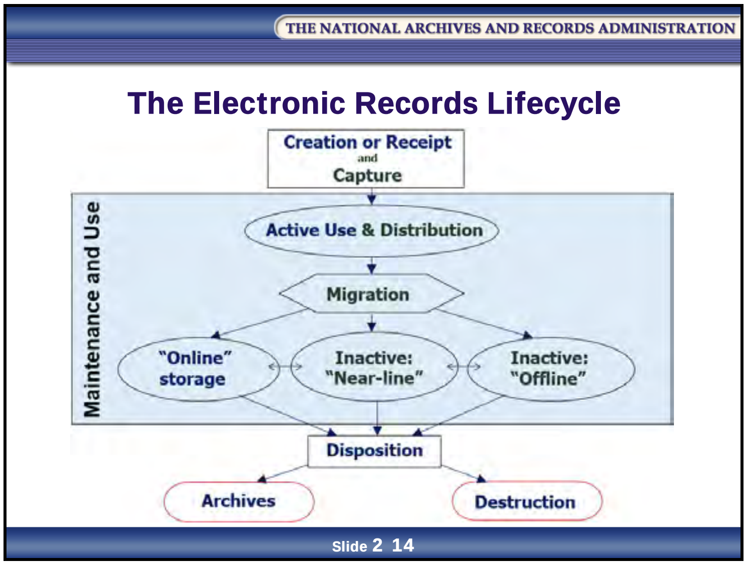
According to the lifecycle concept, records go through the three stages listed below, and decisions are made on how to handle records as they pass through each one of the interrelated phases of the lifecycle:

- **Creation and Receipt** is the first stage of the records lifecycle. In this stage, records are made (or received) by an office in order to support a business function.
- **Maintenance and Use** is the second stage of the records lifecycle. This stage encompasses any action involving the storage, retrieval, and handling of records kept in offices by or for a Federal agency. During this stage, the record is placed in an appropriate system so that it can support a business function.
- **Final Disposition** is the third and final stage of the records lifecycle. In this stage, the records are no longer needed to support a business function, so they undergo their final disposition: either disposal, for temporary records, or transfer to the National Archives, for permanent records.

NOTES

The Electronic Records Lifecycle

Slide 2-14



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

The Electronic Records Lifecycle

Creation or Receipt
and
Capture
Maintenance and Use
Active Use & Distribution
Migration
"Online" storage
Inactive: "Near-line"
Inactive: "Offline"
Disposition
Archives
Destruction

Slide 2 14

Electronic records have a more complicated lifecycle than nonelectronic records because of the design stage and preservation requirements are more complex.

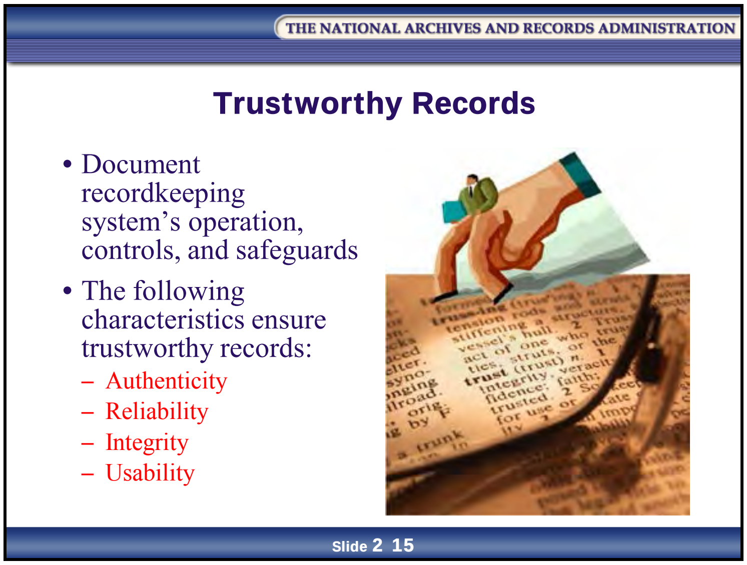
Once the records have been **Created or Received**, they must then be **Captured** in the system. This is followed by:

- **Distribution** includes the process of disseminating e-info through automated means
- **Migration** deals with transferring digital materials from one hardware or software configuration to another
- **Online storage** means information is stored on a hard drive or on a server
- **"Near-line"** means information is stored on disks that are not immediately accessible
- **"Offline"** refers to information stored in a vault or some other secure location

NOTES

Trustworthy Records

Slide 2-15



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Trustworthy Records

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

In order to support agency business needs, records must be handled in a manner that ensures trustworthiness during each stage of the lifecycle. The trustworthiness of a record is established by thoroughly documenting the recordkeeping system's operation and the controls and the safeguards imposed upon it.

According to the International Organization for Standardization (ISO) 15489-1:2001 Information and Documentation – Records Management, Part 1: General, the following characteristics are needed in a recordkeeping system to ensure trustworthy or authoritative records:

- **Authenticity** – Accurate accounting of an activity, transaction, or decision
- **Reliability** – Content that can be trusted as a full and accurate representation
- **Integrity** – Ensure that the information has not been changed subsequent to its creation
- **Usability** – Information that can be located, retrieved, presented, and interpreted by all who need it, throughout the entire lifecycle

NOTES

Lesson Summary

In this lesson, you learned:

- Records are defined by the Presidential and Federal Records Amendments (PFRA) Act of 2014
- Records, nonrecord materials, and personal papers must be distinguished from one another
- Records are created; captured and maintained; and ultimately destroyed or preserved for posterity. This is the records lifecycle.
- During each stage of the lifecycle, records must be handled in a manner that ensures trustworthiness
- Trustworthiness for records is defined as involving the following characteristics: authenticity, reliability, integrity, and usability

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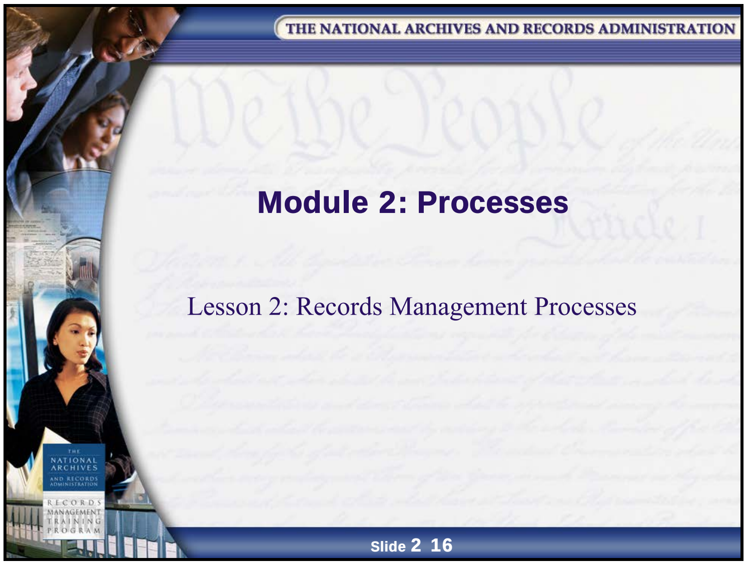
NOTES

Lesson 2: Records Management Processes

Slide 2-16



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

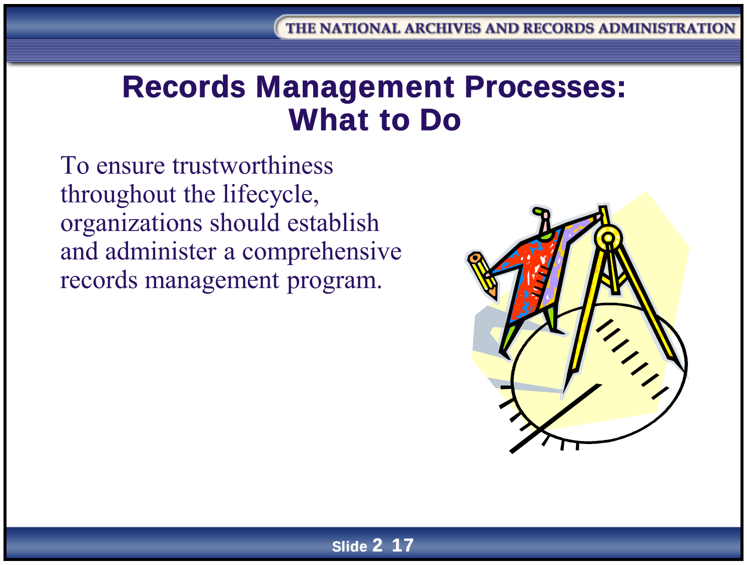
Module 2: Processes

Lesson 2: Records Management Processes

NOTES

Records Management Processes: What to Do

Slide 2-17



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Records Management Processes: What to Do

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

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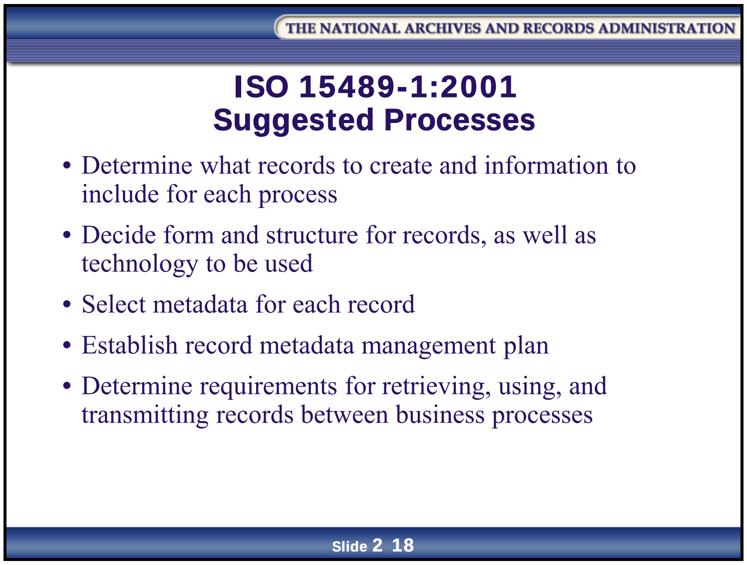
In order to manage organizational records properly and ensure trustworthiness through every stage of the records lifecycle, organizations should establish and administer a comprehensive records management program with certain processes in place. These processes are defined in ISO 15489-1:2001.

NOTES

ISO 15489-1:2001 Suggested Processes

Slide 2-18



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

ISO 15489-1:2001
Suggested Processes

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

International Organization for Standardization (ISO) is a nonprofit organization that develops and publishes standards in areas ranging from information technology to fluid dynamics and nuclear energy.

ISO 15489-1:2001 Information and Documentation – Records Management, Part 1: General, is designed by ISO to provide broad internal standards for records management policies and procedures; it applies to both paper-based and electronic systems.

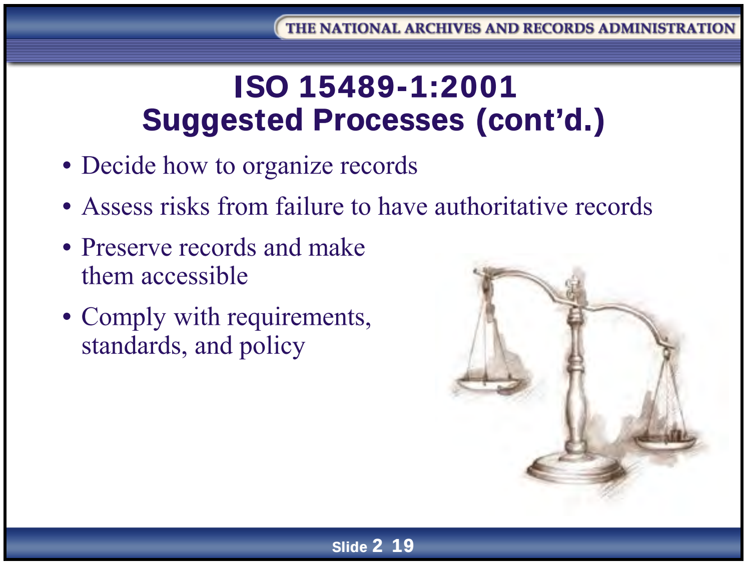
NOTES

The following processes and actions – performed on an ongoing basis – are identified by ISO as being essential to establishing and maintaining an effective records management program:

- Determine what records should be created in each business process, and what information needs to be included in the records
- Decide in what form and structure records should be created and captured, and decide on the technologies to be used
- Select what metadata should be created with the records and through records processes
- Establish how those metadata will be consistently linked and managed
- Determine requirements for retrieving, using, and transmitting records between business processes and other users, and determine how long the records need to be kept to satisfy those requirements

NOTES

Slide 2-19



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

ISO 15489-1:2001 Suggested Processes (cont'd.)

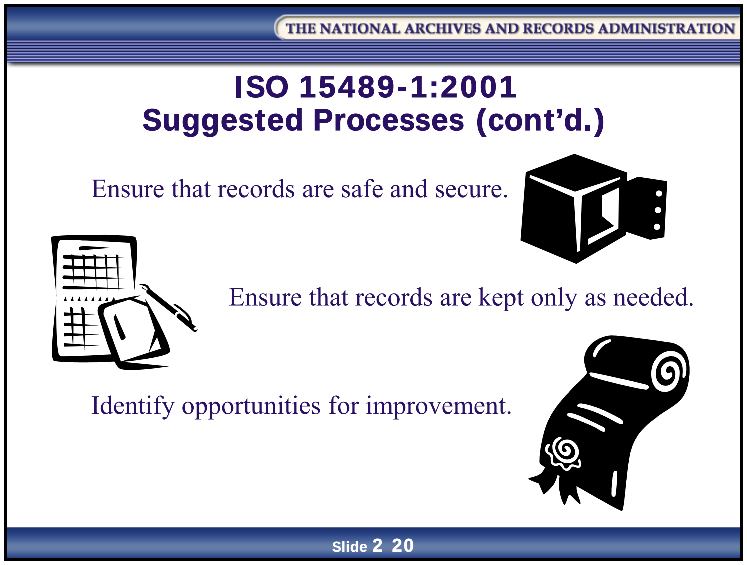
- Decide how to organize records
- Assess risks from failure to have authoritative records
- Preserve records and make them accessible
- Comply with requirements, standards, and policy

Slide 2 19

- Decide how to organize records so as to support requirements for use
- Assess the risks from failure to have authoritative records of activity
- Preserve records and make them accessible over time in order to meet business requirements and community expectations
- Comply with legal and regulatory requirements, applicable standards, and organizational policy

NOTES

Slide 2-20



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

ISO 15489-1:2001
Suggested Processes (cont'd.)

Ensure that records are safe and secure.

Ensure that records are kept only as needed.

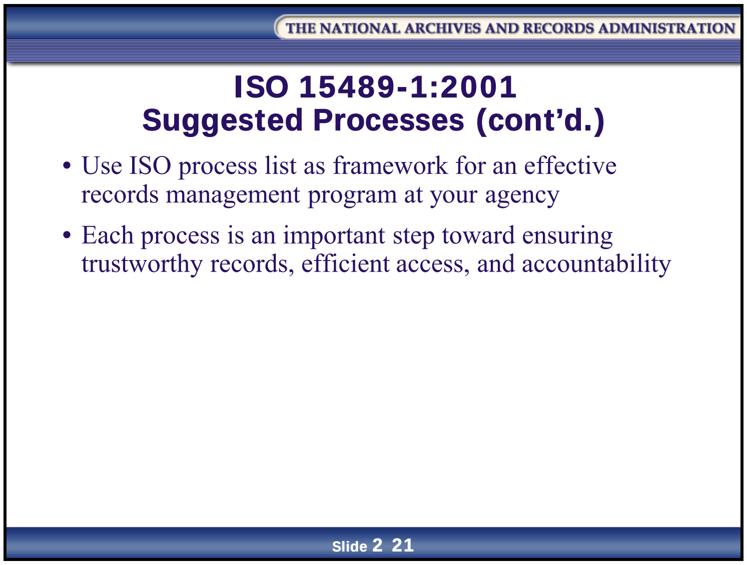
Identify opportunities for improvement.

Slide 2 20

- Ensure that records are maintained in a safe and secure environment
- Ensure that records are retained only for as long as needed or required
- Identify and evaluate opportunities for improving the effectiveness, efficiency, or quality of the organization's processes, decisions, and actions that could result from better records creation or management

NOTES

Slide 2-21



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

ISO 15489-1:2001
Suggested Processes (cont'd.)

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

Slide 2 21

These processes can be used as a guide for organizations to ensure that they are developing a framework for an effective records management program. An effective management program is the foundation on which an agency can automate records management activities, implement systems to manage electronic records, and minimize risk to records.

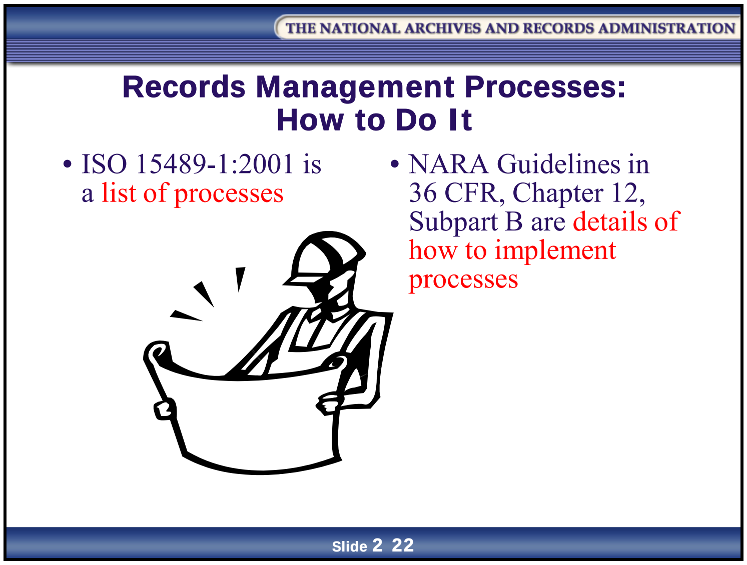
See also ISO 22310:2006 Information and documentation – Guideline for standard drafters for stating records management requirements and standards.

ISO/TR 13028:2010 – ISO Information and documentation – Implementation guidelines for digitization of records.

NOTES

Records Management Processes: How to Do It

Slide 2-22



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Records Management Processes: How to Do It

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

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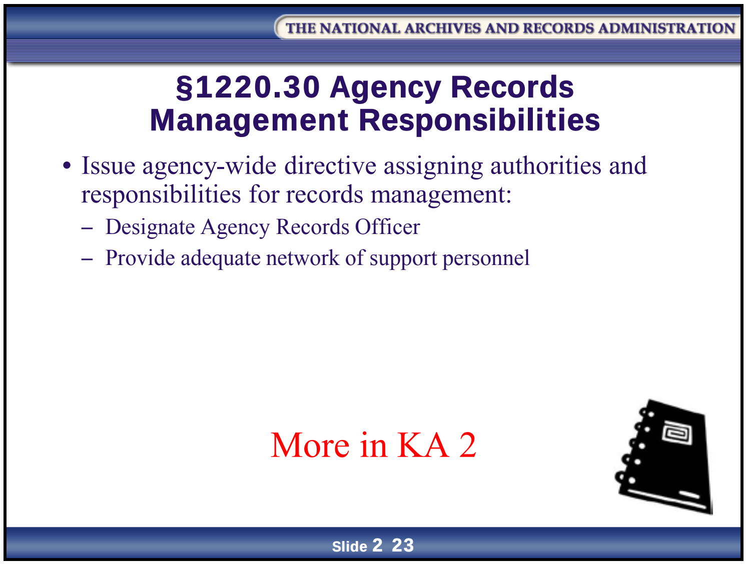
Records management procedures are also outlined in NARA's regulations. The ISO standards and the NARA regulations (36 CFR, Chapter 12, Subpart B) are compatible. You will find that the former provides more specifics on **how to implement** effective records management processes and programs.

The guidelines shown in boldface on the following pages are taken from NARA's 36 CFR, Chapter 12, Subpart B-1220.30 through 1220.34 and 1236. Following each of these highlighted requirements is further explanation of how they can be implemented in the procedures that make up an agency's records management program.

NOTES

§1220.30 Agency Records Management Responsibilities, 36 CFR, Chapter 12, Subpart B

Slide 2-23



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

§1220.30 Agency Records Management Responsibilities

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

More in KA 2

What are an agency's records management responsibilities?

§1220.30

> **(a) Under 44 U.S.C. 3101, the head of each Federal agency must make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency. These records must be designed to furnish the information necessary to protect the legal and financial rights of the government and of persons directly affected by the agency's activities.**

NOTES

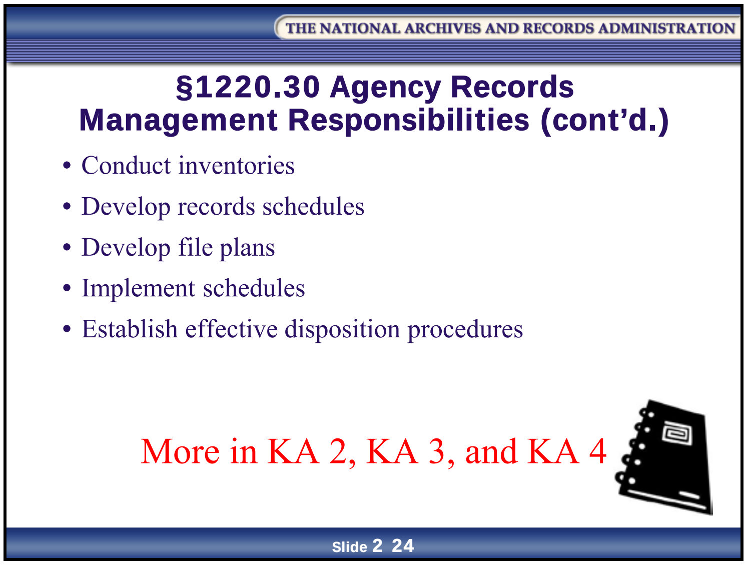
How to Do It:

> This is typically accomplished by issuing an agency-wide directive assigning authorities and responsibilities for records management activities. The directive should designate the ARO as the official responsible for the program, and provide for an adequate network of support personnel at all levels.

(Refer to **Handout 2.01** – EPA Records Management Policy 04-006 for an example of how one agency implements its records management policy.)

NOTES

Slide 2-24



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

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

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

More in KA 2, KA 3, and KA 4

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What are an agency's records management responsibilities? (cont'd.)

Agency programs must, among other things, provide for:

§1220.30 (c)

> **(2) Cooperation with the Archivist and the Administrator of GSA in applying standards, procedures, and techniques designed to improve the management of records, promote the maintenance and security of records deemed appropriate for preservation, and facilitate the segregation and destruction of records of temporary value.**

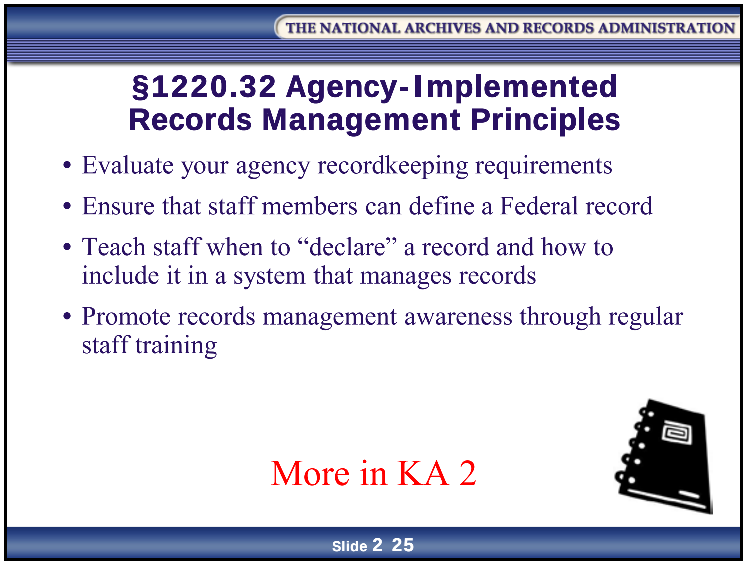
How to Do It:

> This element may be implemented by conducting records inventories, developing records schedules, developing file plans, implementing schedules, and establishing effective disposition procedures – including the transfer of permanently valuable records to NARA.

NOTES

§1220.32 Agency-Implemented Records Management Principles

Slide 2-25



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

§1220.32 Agency-Implemented Records Management Principles

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

More in KA 2

Slide 2 25

What records management principles must agencies implement?

Creation of Records

Agencies must create and maintain authentic, reliable, and usable records and ensure that they remain so for the length of their authorized retention period. A comprehensive records management program provides policies and procedures for ensuring that:

§1220.32

(a) Records documenting agency business are created or captured.

NOTES

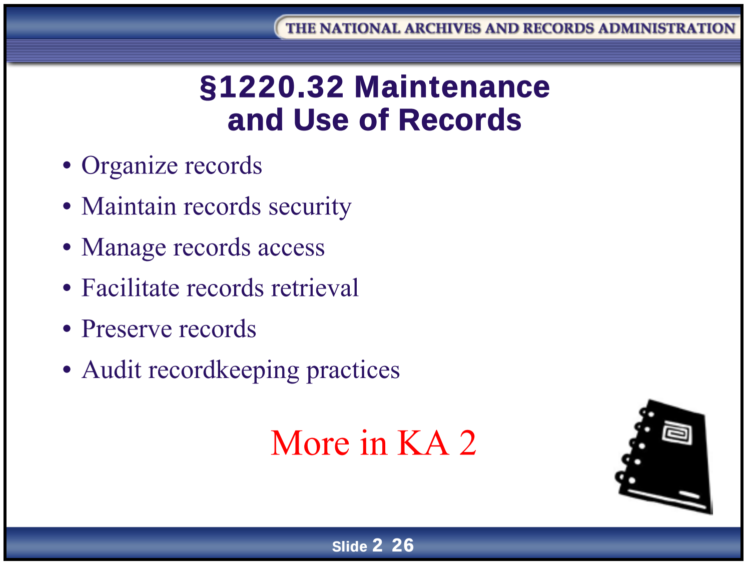
How to Do It:

This is accomplished by evaluating your agency recordkeeping requirements; ensuring that staff members are familiar with the definition of a Federal record; and they can distinguish among records, nonrecord materials, and personal papers. In addition, staff must know when to “declare” a record and how to include that record in a system that manages records. Also, your agency must promote records management awareness and skills through a program of regular staff training.

NOTES

§1220.32 Maintenance and Use of Records

Slide 2-26



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

§1220.32 Maintenance and Use of Records

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

More in KA 2

Slide 2 26

How should agencies maintain their records?

§1220.32

> **(b) Records are organized and maintained to facilitate their use and ensure integrity throughout their authorized retention period.**
>
> **(c) Records are available when needed, where needed, and in a usable format to conduct agency business.**

NOTES

How to Do It:

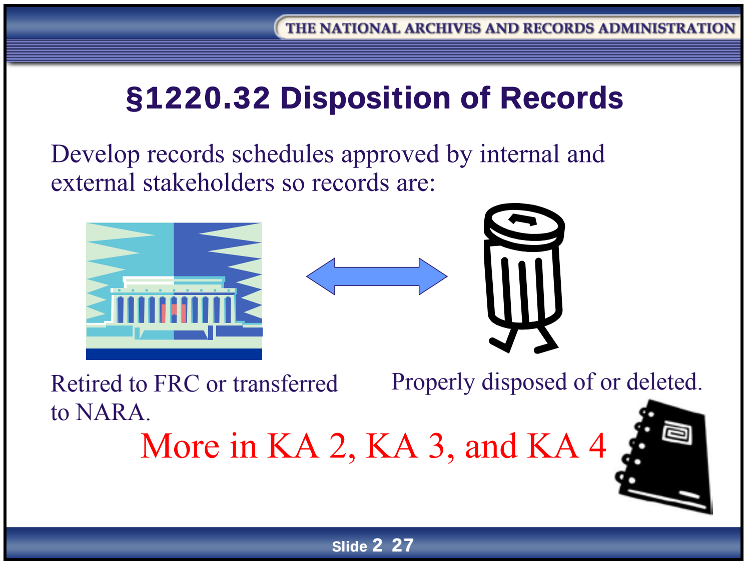
Agencies may meet this requirement by:

- **Organizing records:** Group the records according to a predefined structure to meet business needs
- **Maintaining records security:** Protect the integrity of records against unauthorized alterations or destruction
- **Managing records access:** Grant or limit the ability of individual(s) to examine records or record groupings
- **Facilitating records retrieval:** Ensure the efficient collection of records relevant to a query
- **Preserving records:** Ensure the physical state of records so that they remain stable
- **Auditing:** Ensure compliance of agency recordkeeping practices with existing statutes and internal and external regulations

NOTES

§1220.32 Disposition of Records

Slide 2-27



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

§1220.32 Disposition of Records

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

Retired to FRC or transferred to NARA.

Properly disposed of or deleted.

More in KA 2, KA 3, and KA 4

Slide 2 27

How should agencies handle the disposition of records?

§1220.32

(d) Legal and regulatory requirements, relevant standards, and agency policies are followed.

(e) Records, regardless of format, are protected in a safe and secure environment, and removal or destruction is carried out only as authorized in records schedules.

NOTES

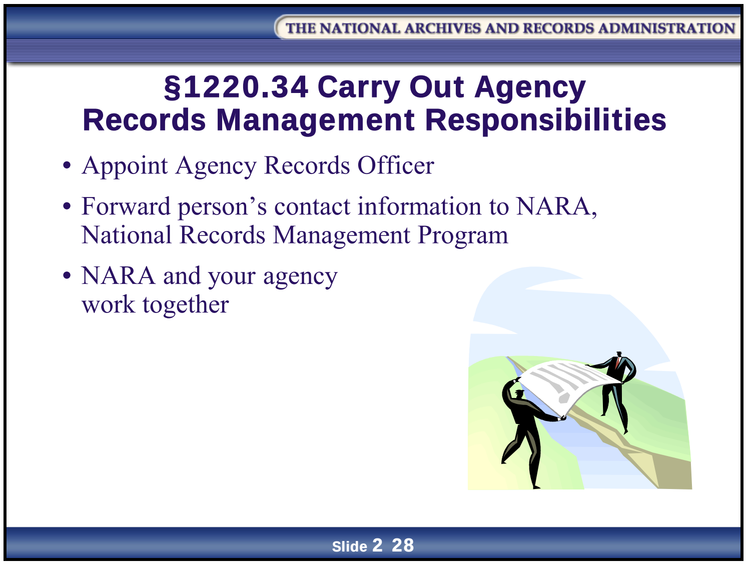
How to Do It:

Agencies may accomplish this requirement by creating, for all agency records, records schedules that are approved by both internal and external stakeholders, and by ensuring that the schedules are correctly used, once implemented. Also, agencies may implement this element by retiring inactive records to Federal Records Centers – or private-sector storage centers that meet storage facility requirements specified under 36 CFR Part 1234 – and transferring permanently valuable records to NARA on a timely basis.

NOTES

§1220.34 Carry Out Agency Records Management Responsibilities

Slide 2-28



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

§1220.34 Carry Out Agency Records Management Responsibilities

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

Slide 2 28

What must an agency do to carry out its records management responsibilities?

§1220.34

> **(a) Assign records management responsibilities to a person and office with appropriate authority within the agency to coordinate and oversee implementation of the agency comprehensive records management program principles in §1220.32.**
>
> **(b) Advise NARA and agency managers of the name(s) of the individual(s) assigned operational responsibilities for the agency records management program.**
>
> **(c) Issue a directive(s) establishing program objectives, responsibilities, and authorities for the creation, maintenance, and disposition of agency records.**

NOTES

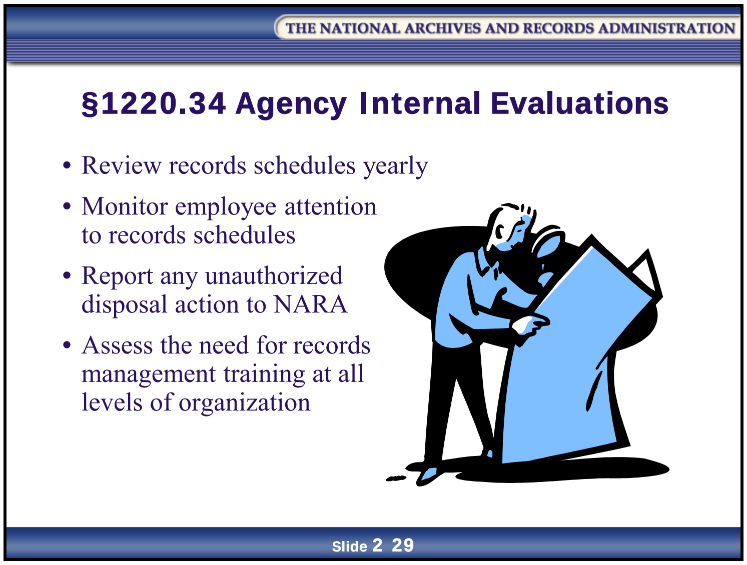
How to Do It:

Agencies may meet this requirement by appointing an ARO and assigning that individual overall program responsibility. As stated in the regulation, this information should be forwarded to NARA's National Records Management Program and updated as necessary. NARA and your agency work together to carry out responsibilities.

NOTES

§1220.34 Agency Internal Evaluations

Slide 2-29



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

§1220.34 Agency Internal Evaluations

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

Slide 2 29

How should agencies evaluate their records management programs?

§1220.34

> **(j) Conduct formal evaluations to measure the effectiveness of records management programs and practices, and to ensure that they comply with NARA regulations.**

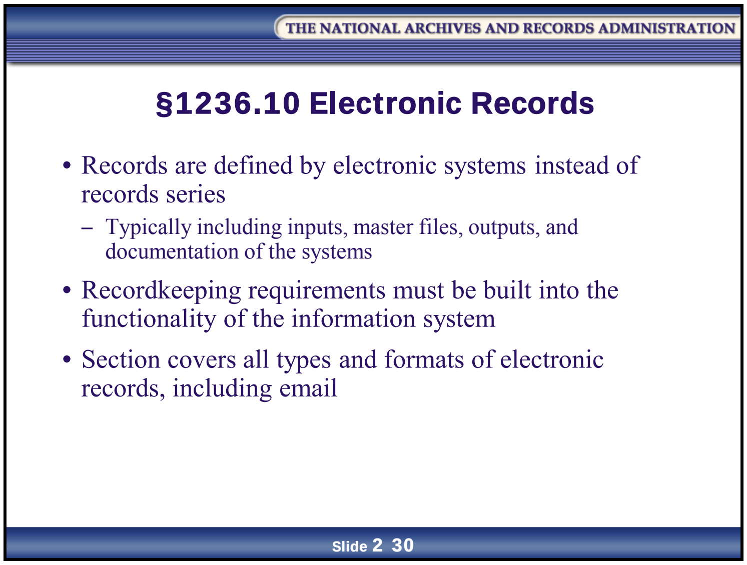
How to Do It:

> In order for a records management program to be effective, it must be evaluated periodically. Agencies should review their records schedules on an annual basis and monitor employee application of correct disposition items. Reports on your holdings at Federal Records Centers (FRCs) or other records centers are excellent tools for monitoring storage and records retirement problems. Also, any unauthorized disposal action should be reported to NARA immediately as authorized in 36 CFR 1230. This internal evaluation should also assess the need for records management training at all levels of the organization.

NOTES

§1236.10 Electronic Records

Slide 2-30



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

§1236.10 Electronic Records

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

Slide 2 30

What records management controls must agencies establish for records in electronic information systems?

This part establishes the basic requirements related to the creation, maintenance, use, and disposition of electronic records.

§1236.10

The following types of records management controls are needed to ensure that Federal records in electronic information systems can provide adequate and proper documentation of agency business for as long as the information is needed. Agencies must incorporate controls into the electronic information system or integrate them into a recordkeeping system that is external to the information system itself.

NOTES

(a) Reliability: Controls to ensure a full and accurate representation of the transactions, activities, or facts to which they attest and can be depended upon in the course of subsequent transactions or activities

(b) Authenticity: Controls to protect against unauthorized addition, deletion, alteration, use, and concealment

(c) Integrity: Controls such as audit trails, to ensure that records are complete and unaltered

(d) Usability: Mechanisms to ensure that records can be located, retrieved, presented, and interpreted

(e) Content: Mechanisms to preserve the information contained within the record itself that was produced by the creator of the record

(f) Context: Mechanism to implement cross-reference to related records that show the organizational, functional, and operational circumstances about the records, which will vary depending upon the business, legal, and regulatory requirements of the business activity, and

(g) Structure: Controls to ensure the maintenance of the physical and logical format of the records and the relationships between the data elements

NOTES

How to Do It:

Agencies may meet these requirements by using processes similar to the traditional manner in which we inventory and schedule paper records. The distinction is that the electronic records are defined by electronic systems instead of record series, and typically involve defining inputs, master files, outputs, documentation of the systems, and system maintenance of records.

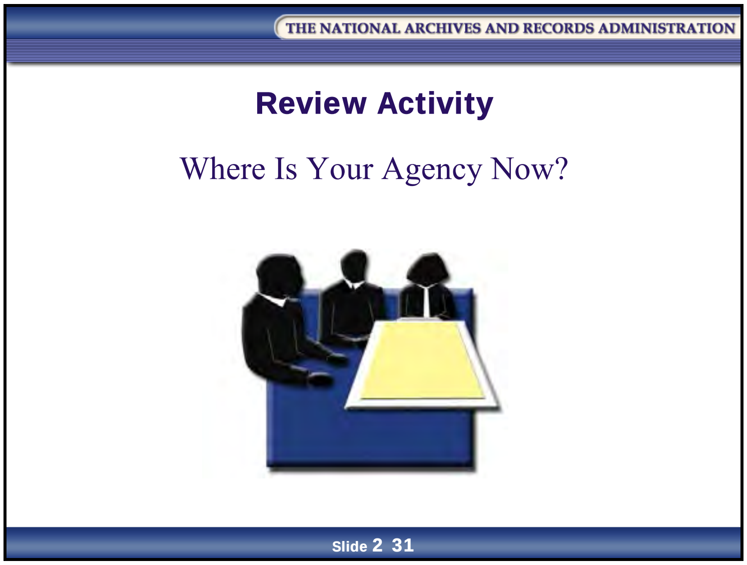
It is also important to note that with electronic records, the analysis of creation and maintenance of the records should begin when the system is designed, so that recordkeeping requirements can be built into the functionality of the system. It is more difficult to schedule and implement disposition once a system is operational. Recordkeeping requirements for the electronic records also include maintenance records on appropriate media (short- or long-term), or migrating them.

In addition, staff must know that these systems contain electronic records that are covered by the PFRA and must be addressed in the same manner as paper records.

NOTES

Review Activity: Where Is Your Agency Now?

Slide 2-31



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Review Activity

Where Is Your Agency Now?

Slide 2 31

NOTES

Table 2-3: Where Is Your Agency Now? Worksheet

RM ACTIVITIES	CURRENT STATUS	I DON'T KNOW
1. Issuing a program directive		
2. Reviewing functions and recordkeeping requirements		
3. Determining vital records		
4. Inventorying agency records holdings		
5. Drafting a records schedule		
6. Obtaining internal and external approval of a records schedule		
7. Reviewing and updating records control schedules		
8. Evaluating Records Management program		
9. Promoting program and training		
10. Inventorying and scheduling electronic systems		
11. Maintaining records security and integrity		

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Lesson Summary

In this lesson, you learned:

- Agencies should establish and administer a comprehensive records management program to ensure trustworthiness through every stage of the records lifecycle
- These processes, recommended by ISO 15489-1:2001, Information and Documentation – Records Management, Part 1: General, can be used as a benchmark for agencies to develop an effective records management program
- NARA guidelines in 36 CFR, Chapter 12, Subpart B, Sections 1220.30–1220.34 and 1236, provide methods for incorporating the 11 processes into effective records management implementation

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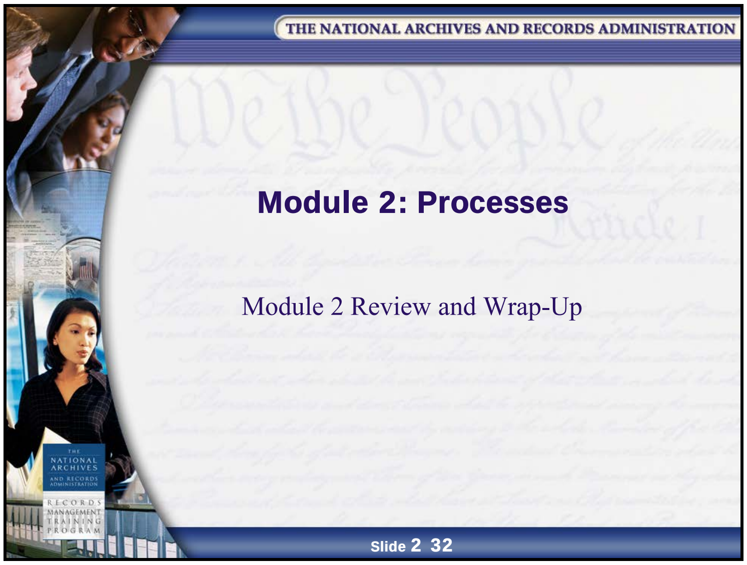
NOTES

Module 2 Review and Wrap-Up

Slide 2-32



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Module 2: Processes

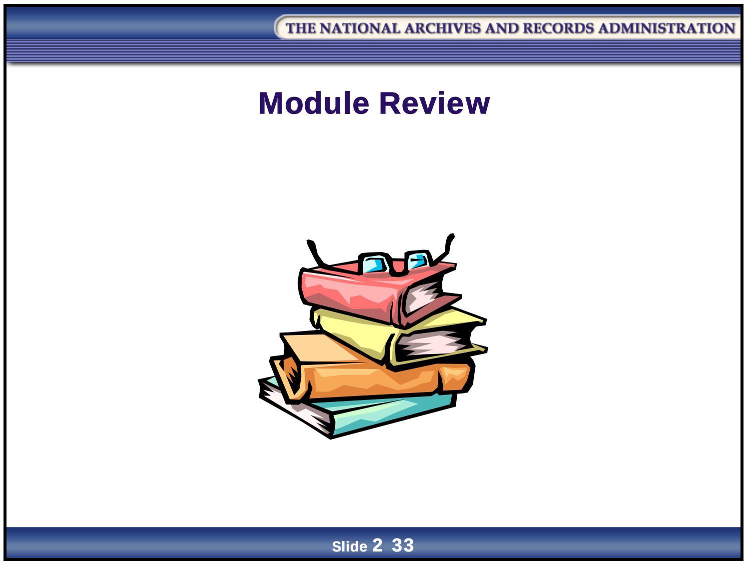
Module 2 Review and Wrap-Up

Slide 2 32

NOTES

Module Review

Slide 2-33



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Module Review

Slide 2 33

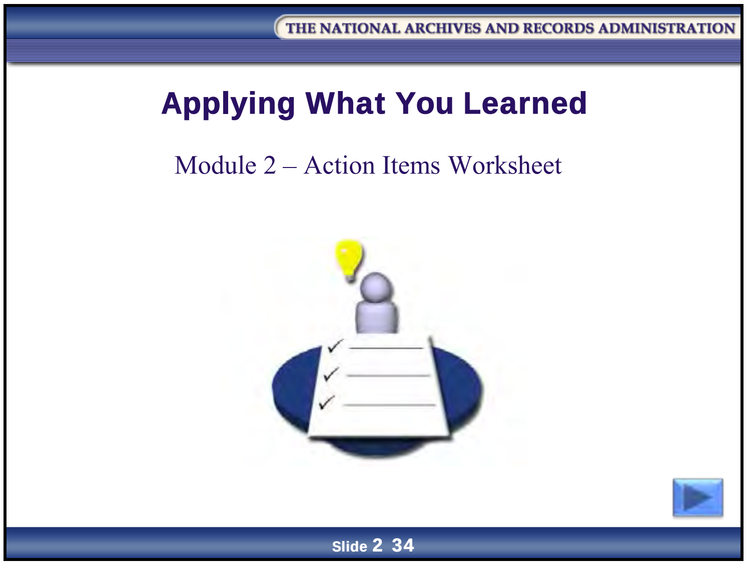
In Module 2, you learned:

- The definition of the information and records lifecycle
- The definition of a Federal record
- What constitutes “trustworthy” records
- About the processes involved in an effective records management program
- What steps an agency can take to apply the ISO standards and NARA regulations to its own records management programs

NOTES

Applying What You Learned

Slide 2-34



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Applying What You Learned

Module 2 – Action Items Worksheet

Slide 2 34

Reflect upon what you have learned in Module 2 and how you will apply it to your job.

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NOTES

Module 2 – Action Items Worksheet

What did I learn about the Federal records lifecycle, records management processes, and the essential elements needed for a successful records management program that will help me at my job? List at least one thing you learned about the Federal records lifecycle, records management processes, and the essential elements needed for a successful records management program, that is relevant to your records management roles and responsibilities.
How will I apply what I learned in this module to my job? List at least one thing you learned about records management processes that you will apply to your job, and explain how you will apply it.
What “aha!” moments did I have during this module? List any “aha!” moments you experienced during this module. (For example, “The records lifecycle is the period between the time when records and information are created and the time when they are ultimately destroyed or preserved for posterity!?! Aha!”)

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THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Participant Guide
January 2017

Knowledge Area 1: Records Management Overview

Module 3: Technology, Tools, and Resources

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
RECORDS MANAGEMENT TRAINING PROGRAM

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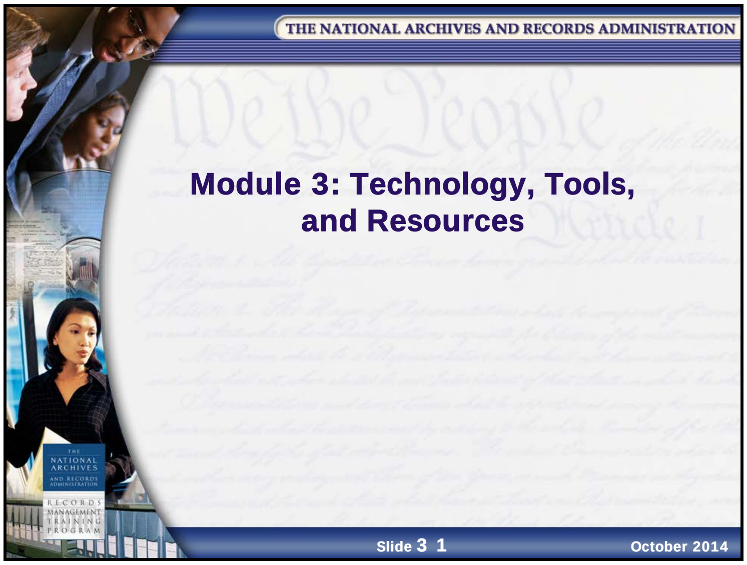
Introduction and Objectives

Slide 3-1



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Module 3: Technology, Tools, and Resources

Slide 3 1

October 2014

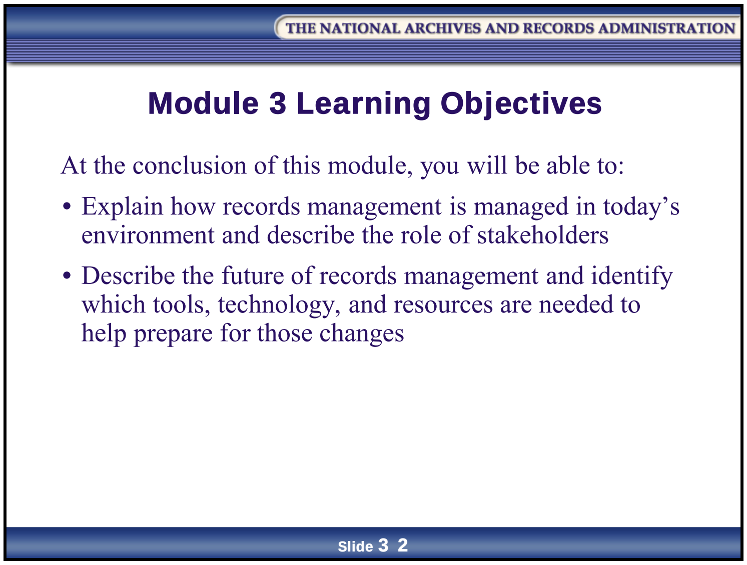
THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
RECORDS MANAGEMENT TRAINING PROGRAM

The goal of this module is to illustrate the changing concepts and practices of records management and to highlight effective records management strategies for the future.

NOTES

Objectives

Slide 3-2



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Module 3 Learning Objectives

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

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

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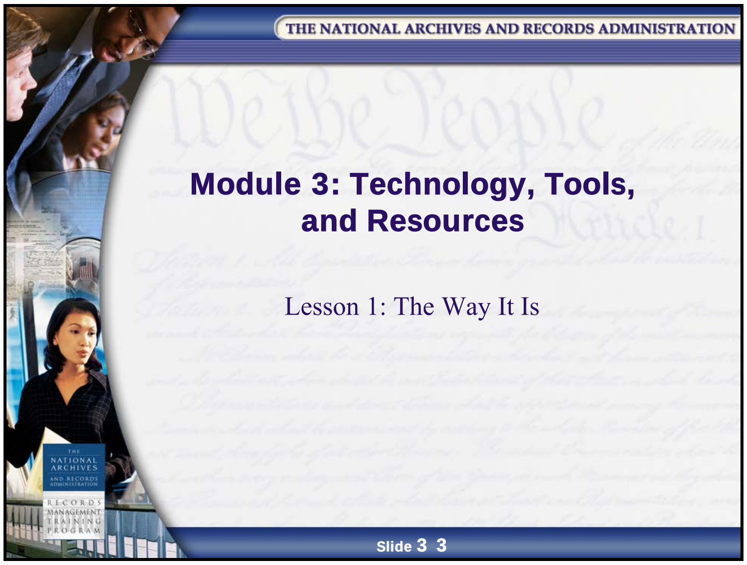
NOTES

Lesson 1: The Way It Is

Slide 3-3



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
RECORDS MANAGEMENT TRAINING PROGRAM

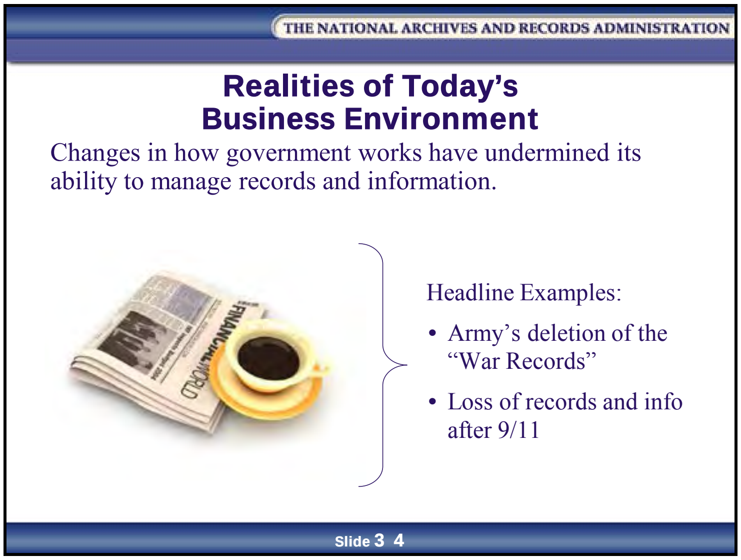
Module 3: Technology, Tools, and Resources

Lesson 1: The Way It Is

NOTES

Realities of Today's Business Environment

Slide 3-4



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Realities of Today's Business Environment

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

Headline Examples:

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

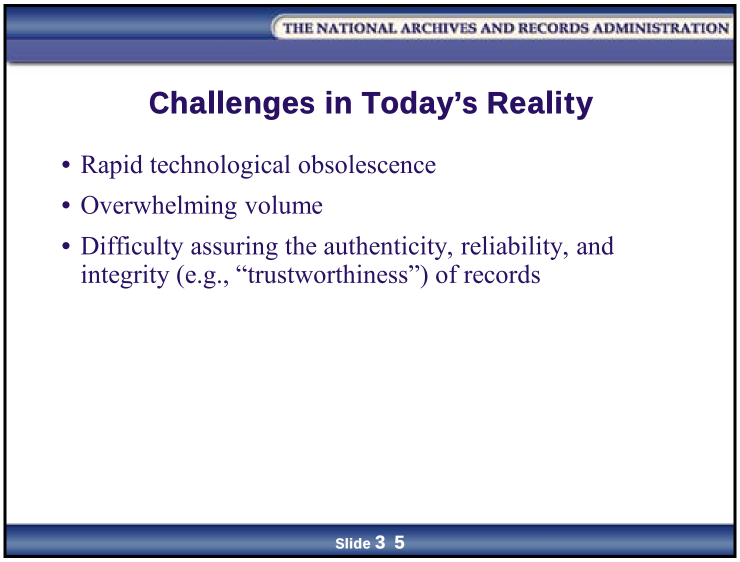
Slide 3 4

The Federal Government faces ever-increasing challenges to effectively manage government information. Agencies are meeting their daily information requirements in the best of cases. In the worst cases, an agency's inability to manage records results in an ineffective use of resources that can lead to major records management problems, issues, and litigation.

NOTES

Challenges in Today’s Reality

Slide 3-5



Challenges in Today’s Reality

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

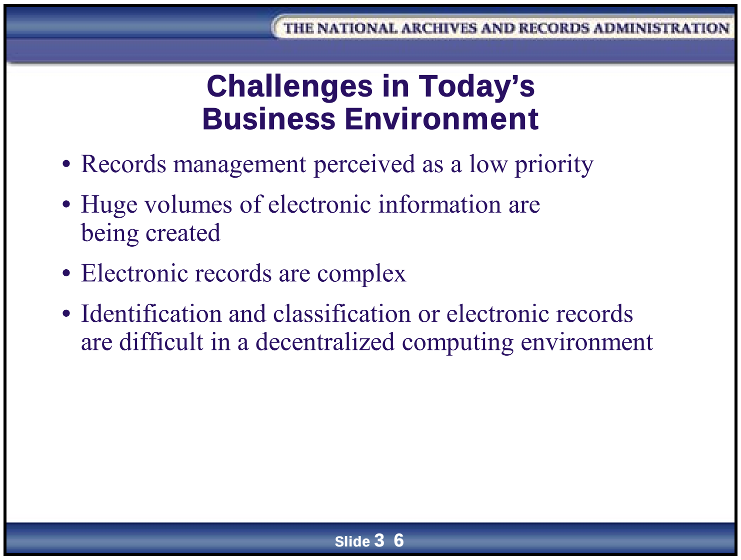
Federal agencies face the following challenges in the current business environment:

- Rapid technological obsolescence
  - Electronic records and systems change often, causing obsolescence due to rapid advances in technology
- Overwhelming volume
  - Technology resulted in an explosion of records and information, overwhelming users who are now responsible for creating, maintaining, and sharing records and information
- Difficulty assuring the authenticity, reliability, and integrity of electronic records
  - The unique features of electronic records complicate agency efforts to create and maintain authentic and reliable records that support agency business processes. Because it is easier to duplicate and disseminate electronic information, agencies typically create more of it, in multiple copies, and send it to multiple users. These users maintain it in various locations, making it difficult to identify the essential records, or identify the correct recordkeeping versions of records that document government activities.

NOTES

Challenges in Today's Business Environment

Slide 3-6



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Challenges in Today's Business Environment

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

Slide 3 6

We need to recognize and understand the challenges that exist in records management in order to develop practical solutions. We refer to the Government Accountability Office (GAO) June 2010 report *Information Management: The Challenges of Managing Electronic Records, GAO-10-838T* to identify some of the challenges faced by agencies trying to manage electronic records:

- Records management is a low priority in the Federal Government:
  - Prior GAO reports have identified persistent weaknesses in Federal records management, including a lack of policies and training
  - Technology alone will not solve all of the records management issues. Records management must have a commitment from agencies. Electronic recordkeeping systems can be challenging to implement and can require considerable resources for planning and implementation, including establishing a sound records management program as a basis.
- Huge volumes of electronic information are being created:
  - Electronic information is increasingly being created in volumes that pose a significant technical challenge to our ability to organize it and make it accessible

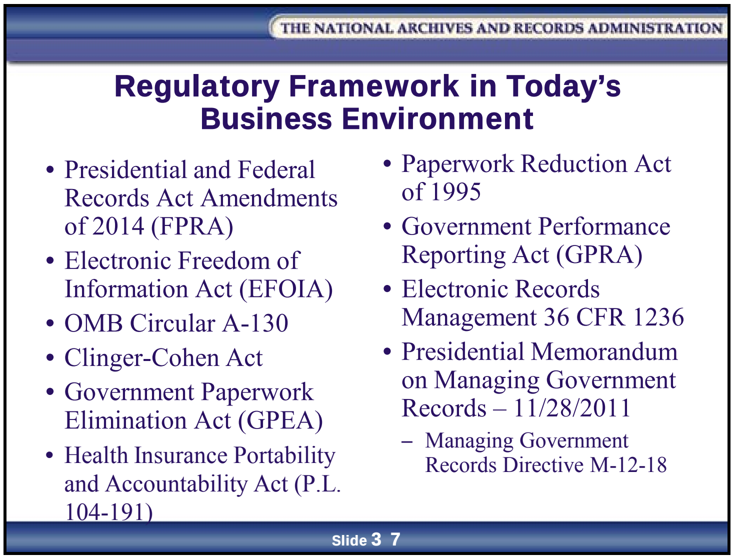
NOTES

- Electronic records are complex
  - Electronic records have evolved from simple text- based files to complex digital objects that may contain embedded images. Some portions of electronic records, such as webpages, are created from databases and exist only during the viewing session.
- Identification and classification of electronic records are difficult in a decentralized computing environment
  - The challenge of managing electronic records significantly increases with the decentralization of the computing environment. In the centralized environment of a mainframe computer, it is comparatively simple to identify, assess, and manage electronic records. However, in the decentralized environment of agencies' office electronic systems, every user can create:
    - Electronic files of generally unstructured data that may be formal records and thus should be managed
    - Documents that are on desktop computers, laptops, blackberries, smart phones, data stored on local hard drives, shared drives and the cloud
    - Email received from outside the agency that is dependent on the identified source and content to determine its records status

NOTES

Regulatory Framework in Today's Business Environment

Slide 3-7



Regulatory Framework in Today's Business Environment

- Presidential and Federal Records Act Amendments of 2014 (FPRA)
- Electronic Freedom of Information Act (EFOIA)
- OMB Circular A-130
- Clinger-Cohen Act
- Government Paperwork Elimination Act (GPEA)
- Health Insurance Portability and Accountability Act (P.L. 104-191)
- Paperwork Reduction Act of 1995
- Government Performance Reporting Act (GPRA)
- Electronic Records Management 36 CFR 1236
- Presidential Memorandum on Managing Government Records – 11/28/2011
  - Managing Government Records Directive M-12-18

Existing in today's business environment are statutory, legal, and regulatory requirements that support improving the management of records and information.

- The **Presidential and Federal Records Act Amendments of 2014 (PFRA)** as amended, gives the Archivist of the United States, as head of the National Archives and Records Administration, the authority to provide guidance and assistance to Federal officials on the management of records *www.congress.gov/bill/113th-congress/house-bill/1233/text*
- The **Electronic Freedom of Information Act (EFOIA)** U.S.C. 552(a) (2)(D) requires agencies to provide requested information in electronic format if there is no legal reason not to do so *justice.gov/oip/foia_updates/Vol_XVII_4/page2.htm*
- **OMB Circular A-130 Management of Federal Information Resources** establishes policy for the management of Federal information resources, including appendixes with OMB's procedural and analytic guidelines for implementation *whitehouse.gov/omb/circulars_a130_a130trans4/*
- The **Clinger-Cohen Act (40 U.S.C. 1401)**, also known as the Information Technology Management Reform Act (ITMRA) of 1996, requires that records management and archives functions be part of system development and implementation. More information is available at *govinfo.library.unt.edu/npr/library/misc/itref.html*.

NOTES

- The **Government Paperwork Elimination Act (GPEA)** requires agencies to allow individuals or entities to submit information or transact with the agency electronically, when practicable, and to maintain records electronically, when practicable *archives.gov/records-mgmt/policy/electronic-signature-technology.html*
- The **Health Insurance Portability and Accountability Act (P.L. 104-191)** legislation addresses the protection of private medical information. This law is applicable to those who work with individual medical information, including insurance carriers participating in the Federal Employees Health Benefits (FEHB) Program, TRICARE for the military, Department of Veterans Administration (VA) medical files and Health and Human Services. *en.wikipedia.org/wiki/Health_Insurance_Portability_and_Accountability_Act*
- The **Paperwork Reduction Act of 1995** establishes a mandate for agencies to perform their information resources management activities in an efficient, effective, and economical manner *cms.gov/Regulations-and-Guidance/Legislation/PaperworkReductionActof1995/index.html*
- The **Government Performance and Results Act (GPRA)** requires agencies to establish measures and collect data to track performance improvement *whitehouse.gov/omb/mgmt-gpra/index-gpra*
- **Electronic Records Management** – 36 CFR 1236 – contains standards for the creation, use, preservation, and disposition of electronic records. More information is available at *archives.gov/about/regulations/regulations.html*
- **Presidential Memorandum (PRM) on Managing Government Records –** The Executive Branch-wide effort to reform records management policies and practices and to develop a 21st century framework for the management of government records
  - **Managing Government Records Directive M-12-18 –** issued by OMB and NARA in response to the Presidential Memorandum on Managing Government Records was released on November 28, 2011. The Directive established a robust 21st century framework for managing Federal records. The text of the directive can be found at *whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-18.pdf*.

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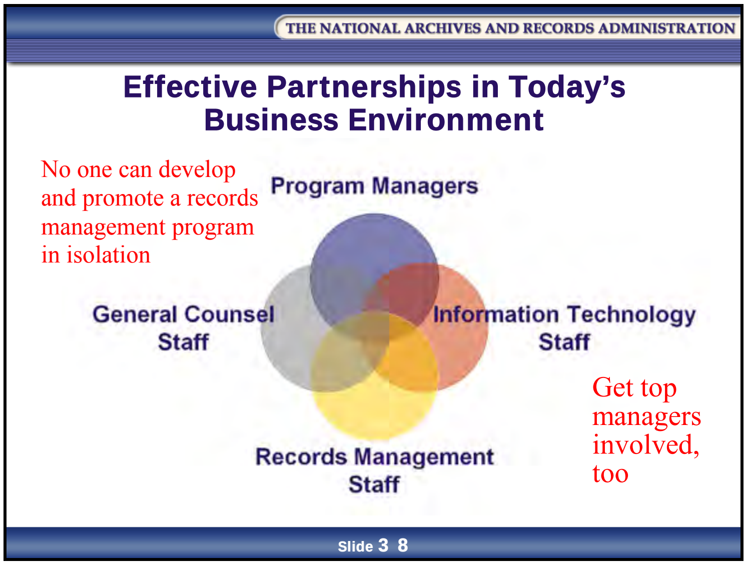
Effective Partnerships in Today's Business Environment

Slide 3-8



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Effective Partnerships in Today's Business Environment

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

Program Managers

General Counsel Staff

Information Technology Staff

Records Management Staff

Get top managers involved, too

Slide 3 8

To succeed in addressing challenges and complying with the law, we must build alliances. A team approach to managing agency records and information that includes both IT and the General Counsel permits the application of each team member's subject expertise in the development of appropriate records management policies and procedures.

NOTES

Lesson Summary

In this lesson, you learned that:

- Changes in how the government works, especially as Federal agencies use more complex electronic processes, lead to an increase in barriers to the effective management of Federal records
- Electronic Records Work Group (ERWG) identified these barriers:
  - Records and information are not managed as agency business assets
  - Records management is not viewed as critical to agency mission
  - Marginal support for records management has led to a lack of training, tools, and guidance for all staff within Federal agencies
  - Records management and information technology disciplines are poorly integrated within Federal agencies
- The ERWG recommended a government-wide, coordinated information and records management strategy to assist agencies in overcoming these barriers
- Agencies need to manage their records from the moment of creation in accordance with appropriate policies and procedures
- E-Gov required agencies to identify their basic lines of business and to develop common business models

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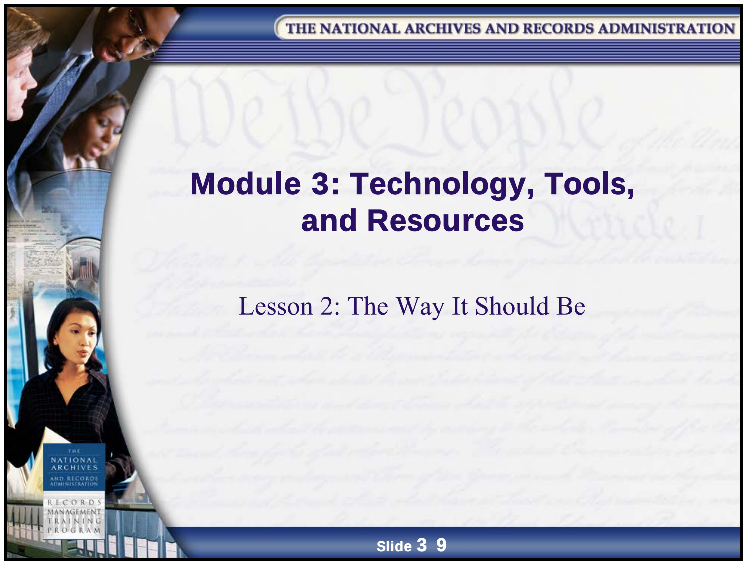
Lesson 2: The Way It Should Be

Slide 3-9



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Module 3: Technology, Tools, and Resources

Lesson 2: The Way It Should Be

Slide 3 9

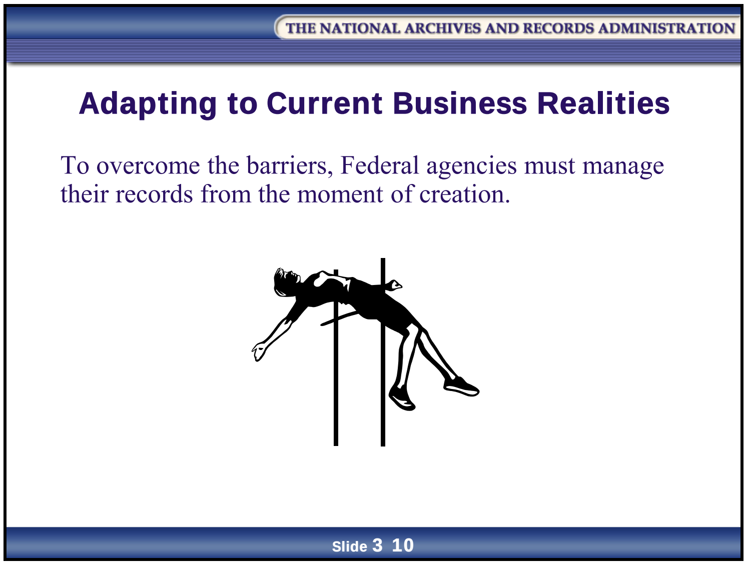
In Module 1, we identified stakeholders and looked at some of the responsibilities that are related to records management activities. In Module 2, we learned that process plus people equals success in the records management arena.

So far, in Module 3 we have identified the challenges facing records management programs. Now we will discuss the technology, tools and resources that are part of the solution for records management success in the 21st century.

NOTES

Adapting to Current Business Realities

Slide 3-10



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Adapting to Current Business Realities

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

Slide 3 10

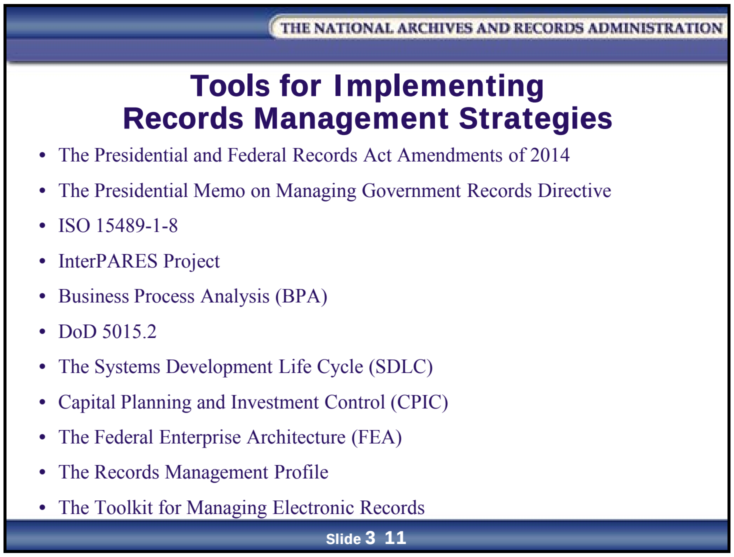
To overcome records management challenges, Federal agencies must address the realities of the current business environment. They must develop and use a coordinated information and records management strategy during the entire lifecycle.

The Federal Government is developing many new ways to serve citizens, businesses, and local communities through the Presidential Memo on Managing Government Records. Through this program, a government-wide coordinated information and records strategy is being designed and implemented.

NOTES

Tools for Implementing Records Management Strategies

Slide 3-11



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Tools for Implementing Records Management Strategies

- The Presidential and Federal Records Act Amendments of 2014
- The Presidential Memo on Managing Government Records Directive
- ISO 15489-1-8
- InterPARES Project
- Business Process Analysis (BPA)
- DoD 5015.2
- The Systems Development Life Cycle (SDLC)
- Capital Planning and Investment Control (CPIC)
- The Federal Enterprise Architecture (FEA)
- The Records Management Profile
- The Toolkit for Managing Electronic Records

Several initiatives, growing out of the Federal Government’s goal to improve the way we do business, provide important resources to AROs. Please use the following as major reference tools:

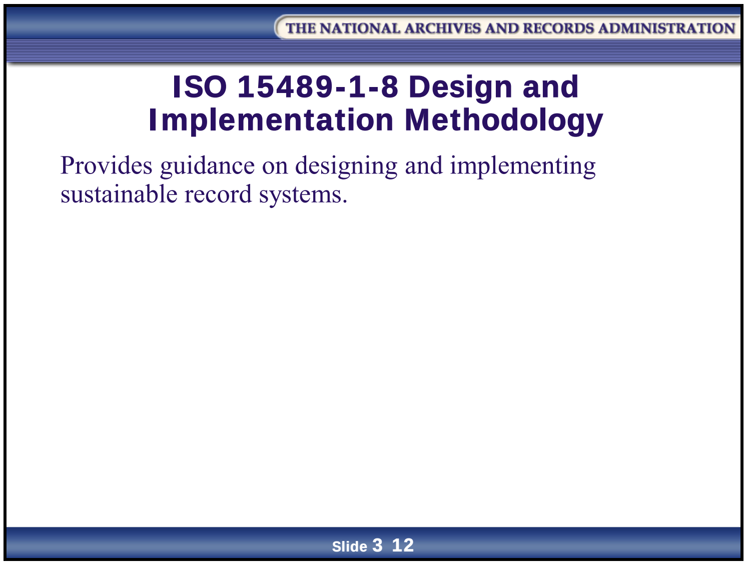
- The Presidential and Federal Records Act Amendments of 2014
- The Presidential Memo on Managing Government Records Directive
- ISO 15489-1-8 Design and Implementation Methodology
- InterPARES Project
- Business Process Analysis (BPA)
- DoD 5015.2
- The Systems Development Life Cycle (SDLC)
- Capital Planning and Investment Control (CPIC)
- The Federal Enterprise Architecture (FEA)
- The Records Management Profile
- The Toolkit for Managing Electronic Records

Note that this is not an exhaustive list. There are many other tools that you may use.

NOTES

ISO 15489-1-8 Design and Implementation Methodology

Slide 3-12



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ISO 15489-1-8 Design and Implementation Methodology

Provides guidance on designing and implementing sustainable record systems.

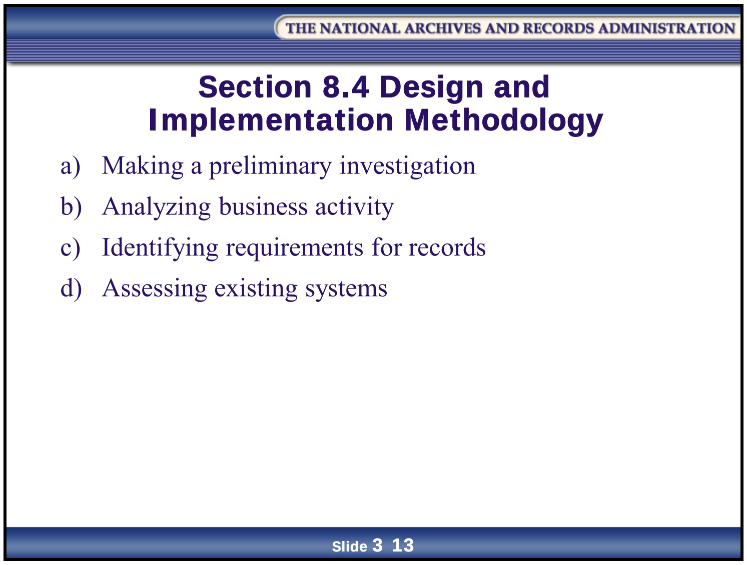
Slide 3 12

We will now focus on the part of ISO 15489-1 that serves as a tool to design and implement a record system, section 8.4.

NOTES

Section 8.4 Design and Implementation Methodology

Slide 3-13



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Section 8.4 Design and Implementation Methodology

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

The methodology outlined in items a-h below is not designed to be linear. The tasks may be undertaken in different stages, partially or gradually, in accordance with organizational needs, formal compliance requirements, and, changes to the organizational and records management environment.

a. **Making a preliminary investigation**. Collect information from documentary sources and interviews. Identify and document the role and purpose of the organization; its structure; its legal, regulatory, business, and political environment; and critical factors and critical weaknesses associated with records management.
b. **Analyzing business activity.** Collect information from documentary sources and interviews; identify and document each business function, activity, and transaction, and establish a hierarchy – that is, a business classification system; and identify and document the flow of business processes and the related transactions.

NOTES

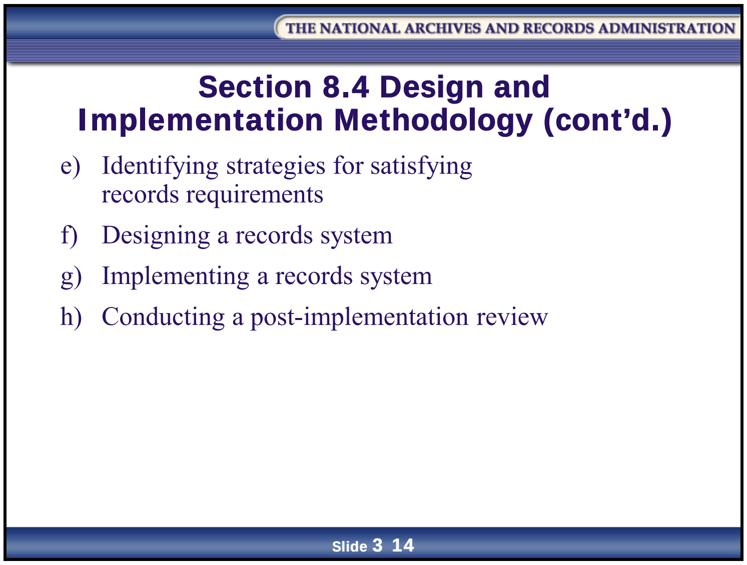
c. **Identifying requirements for records**. Collect information from documentary sources and interviews; identify the requirements for evidence of and information about each business function, activity, and set of transactions appropriately documented through records; and choose the appropriate records structure that best satisfies each business function, activity, or transaction.

d. **Assessing existing systems**. Identify and analyze existing records systems and other information systems to measure their performance against the requirement for records.

NOTES

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

Slide 3-14



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

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

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

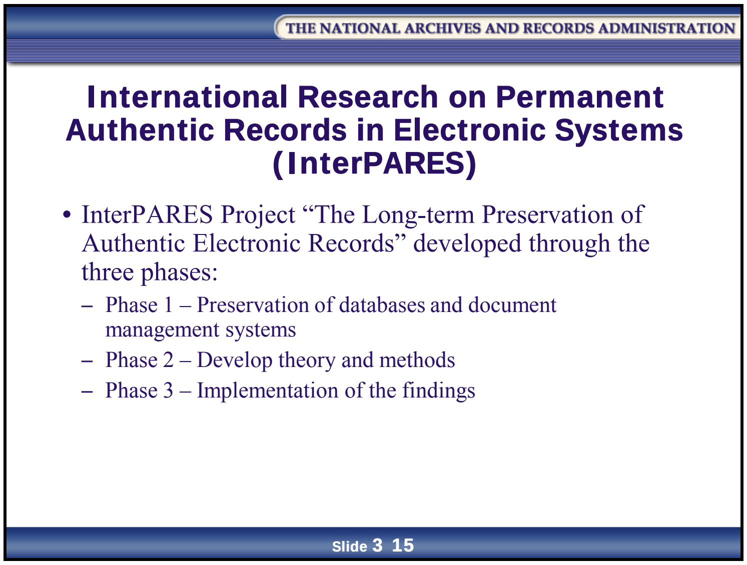
Slide 3 14

e. **Identifying strategies for satisfying records requirements**. May include adopting policies, standards, procedures, and practices; designing new systems; and implementing systems in a way that satisfies a requirement of records.
f. **Designing a records system**. Ensure that the records system supports, and does not hinder, business processes; assess and, if necessary, redesign business processes and operational business and communication systems to incorporate records management.
g. **Implementing a records system**. Undertake implementation systematically using project planning and methodologies appropriate to the situation, and with a view to integrating the operation of records systems with business processes and related systems.
h. **Conducting a post-implementation review.** Review and assess the performance of the systems, initiate and monitor corrective action, and establish a regime of continuous monitoring and regular evaluation:
    - Interview members of management and key employees
    - Use questionnaires
    - Observe systems in operation
    - Examine procedures manuals, training materials, and other documentation
    - Carry out random checks on the quality of records and control measures

NOTES

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

Slide 3-15



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

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

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

Slide 3 15

InterPARES focused on developing the knowledge essential to the long-term preservation of authentic records created and/or maintained in digital form and providing the basis for standards, policies, strategies, and plans of action capable of ensuring the longevity of such material and the ability of its users to trust its authenticity.

From 1999 to 2012, the InterPARES Project “The Long-term Preservation of Authentic Electronic Records” consisted of three phases:

- Phase 1: Focused on the authentic preservation of administrative and legal records created and maintained in databases and document management systems
- Phase 2: Developed theory and methods capable of ensuring the reliability, accuracy, and authenticity of electronic records from their inception and throughout their preservation
- Phase 3: Implemented of the findings of the first two phases of the project in archival organizations or units endowed with limited resources

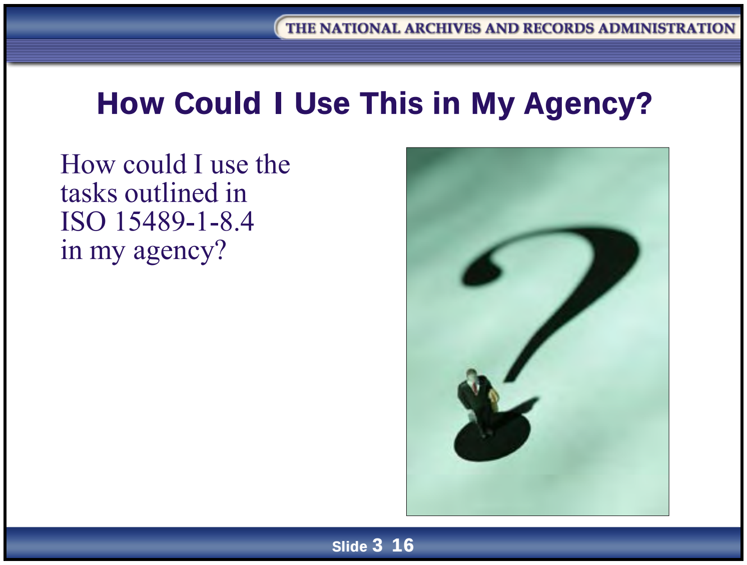
For more information about InterPARES Project, see *interpares.org/ip_director_welcome.cfm*.

A recent fourth phase of InterPARES study completed in 2014, Trust in Digital Records in an Increasingly Networked Society can be located at *interparestrust.org/*.

NOTES

How Could I Use This in My Agency?

Slide 3-16



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

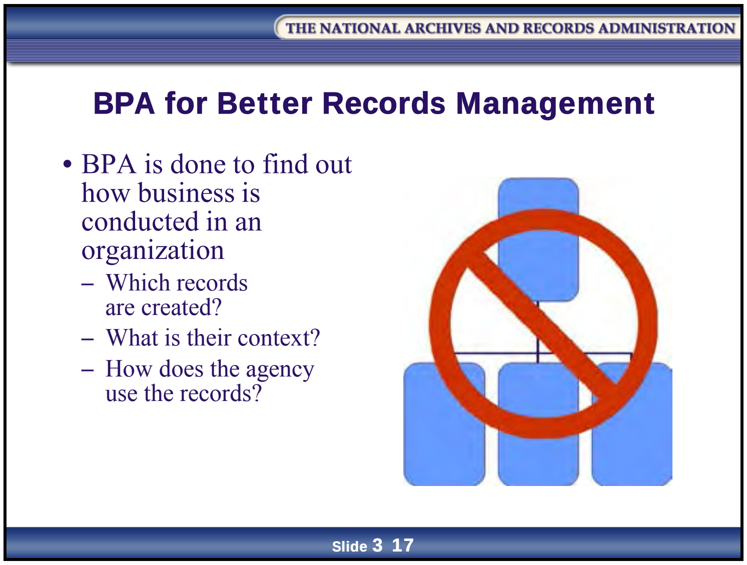
How Could I Use This in My Agency?

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

NOTES

Business Process Analysis (BPA) for Better Records Management

Slide 3-17



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BPA for Better Records Management

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

Slide 3 17

As we learned in Modules 1 and 2, a business process can involve many different people and it can cut across many organizational units. A business process analysis (BPA) examines an organization's business processes in order to find out how business is conducted in the organization. A BPA is a way of thinking about organizations different from the traditional organizational chart, where employees are often grouped according to their assigned departments.

As we just covered under ISO 15489-1-8 Design and Implementation Methodology, analyzing a business process can identify and document the flow of business processes and their related transactions. This can help records management by revealing:

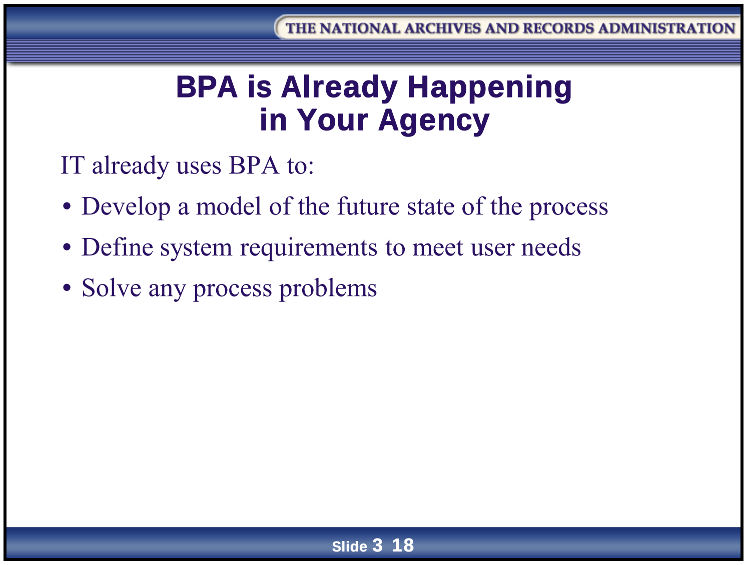
- Which records are created
- What is the context for the records
- How the agency uses the records

Information collected during a BPA is solicited from documentary sources and interviews with stakeholders. It can be scaled for any size project, from reviewing a process for imaging records in one division to the development of an enterprise-wide records management system.

NOTES

BPA is Already Happening in Your Agency

Slide 3-18



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BPA is Already Happening in Your Agency

IT already uses BPA to:

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

Slide 3 18

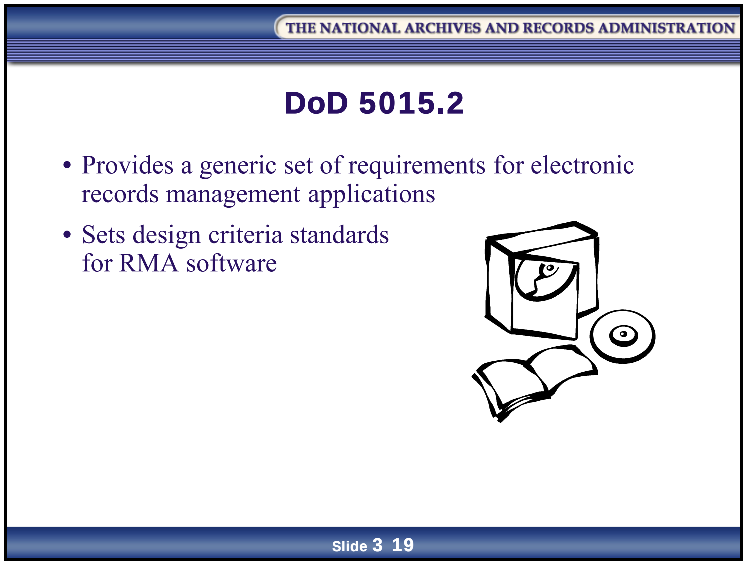
BPA is probably already happening in your agencies. In the IT world, analysts use BPA to develop future-state models of the processes and define system requirements. However, AROs can use BPA to identify the records to schedule and the records management requirements for systems IT is developing.

BPA details and the six “best practices” benchmarked in NARA’s 2005 study are available on the NARA website at *archives.gov/records-mgmt/policy/bpa-benchmarking.html.*

NOTES

DoD 5015.2

Slide 3-19



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

DoD 5015.2

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

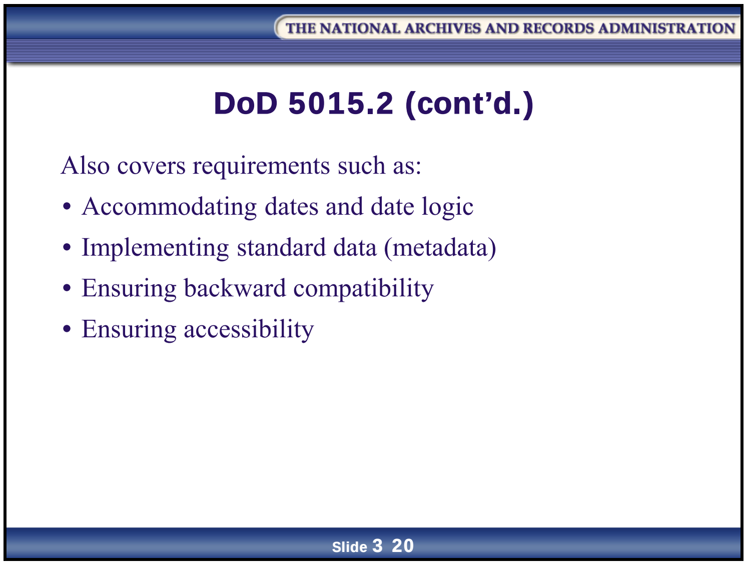
The Department of Defense (DoD) Standard DoD 5015.2 set generic design criteria standards for Records Management Application (RMA). It describes the minimum records management requirements that must be met, based on 44 U.S.C. 2902, Objectives of Records Management, and NARA regulations and guidance.

Your agency may start with the 5015.2 requirements as a baseline, and then determine whether it has additional specific requirements that are useful.

Because of the differences in agency cultures, business needs, and technology infrastructure, the DoD requirements may not be sufficient for use by other agencies or organizations.

NOTES

Slide 3-20



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DoD 5015.2 (cont'd.)

Also covers requirements such as:

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

Slide 3 20

In addition to the generic requirements, 5015.2 also covers more detailed requirements, such as:

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

There are also nonmandatory features included in the DoD Standard. These are functions needed for specific activities, and should be identified by the agency as requirements. They are useful features, but cannot be made mandatory, because no Federal law or NARA regulation requires them.

The nonmandatory features include such things as:

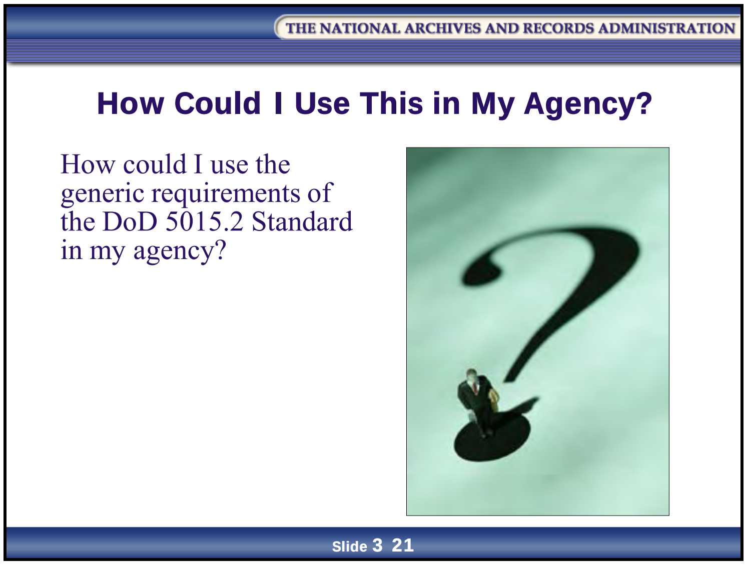
- Imaging
- Workflow and document management features

The complete DoD Standard can be found at *dtic.mil/whs/directives/corres/pdf/501502std.pdf*.

NOTES

How Could I Use This in My Agency?

Slide 3-21



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

How Could I Use This in My Agency?

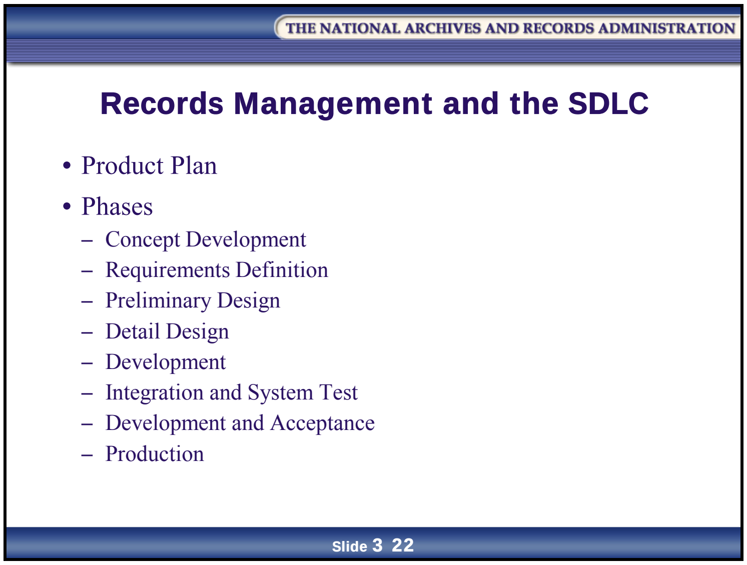
How could I use the generic requirements of the DoD 5015.2 Standard in my agency?

Slide 3 21

NOTES

Records Management and the Systems Development Life Cycle (SDLC)

Slide 3-22



Records Management and the SDLC

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

The Systems Development Life Cycle (SDLC) process provides a structured and standardized process for all phases of any system development effort.

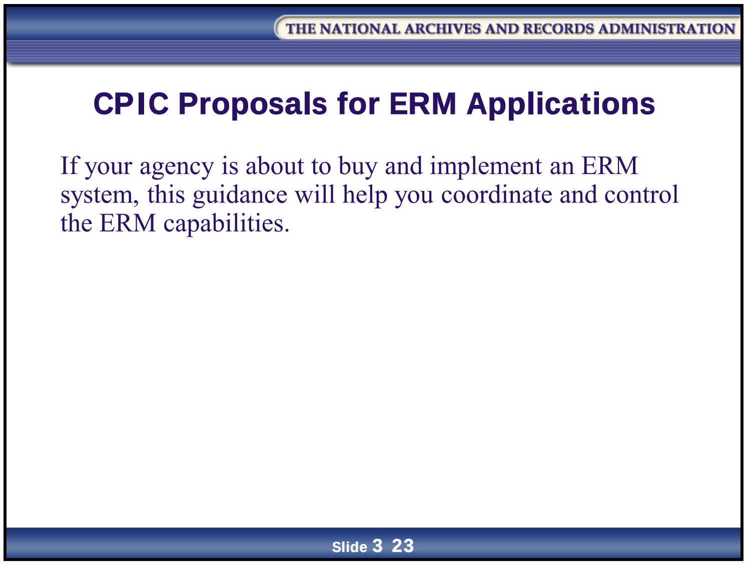
The phases on the slide reflect the development of a system from initiation through each phase. The Records Management Profile recommends that agencies embed records management requirements in the early stages of the SDLC so that they will realize cost efficiencies and other positive benefits.

The main records management objective of the SDLC is to get the ARO involved in the system design, to ensure that the system owner is aware of the need to integrate records management into the system, and to begin discussing records requirements and retentions.

NOTES

Capital Planning and Investment Control (CPIC) Proposals for ERM Applications

Slide 3-23



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CPIC Proposals for ERM Applications

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

Slide 3 23

If your agency has already made the decision to acquire and implement an Electronic Records Management (ERM) system, or if you are in the process of doing so, the Guidance for Coordinating the Evaluation of Capital Planning and Investment Control (CPIC) Proposals for ERM Applications is for you.

This guidance was born of the experience of Federal agency managers whose aim was to have one enterprise-wide ERM system and who received multiple CPIC proposals (Exhibit 300s) from offices within their agencies that were either operating or contemplating acquiring separate ERM systems.

Note: Exhibit 300 is a tool for detailed justifications of a major IT investment.

It helps to coordinate and control the acquisition and implementation of ERM capabilities enterprise-wide by providing basic steps for evaluating CPIC proposals.

NOTES

The primary audience for this document consists of those Federal agencies that have already made the decision to acquire and implement an ERM system. Those agencies that did not acquire and implement an ERM system will still benefit from CPIC guidance, as it details the direction agencies will need to move in the future.

Written from the perspective of an administrator evaluating a portfolio of ERM-related projects, the criteria presented in the guidance provide a set of decision points to help determine whether office-specific ERM systems should be funded independently or integrated with an agency's enterprise-wide ERM system. It may also be useful for agencies in reviewing other CPIC proposals for systems that need ERM functionality.

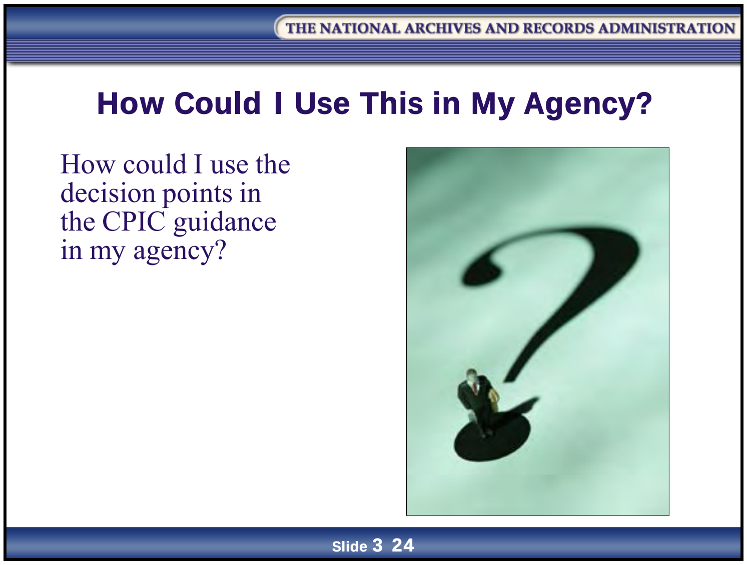
For detailed information on CPIC, see *archives.gov/records-mgmt/policy/cpic-guidance.html.*

Recommended Practice: Analysis of Lessons Learned for Enterprise-Wide ERM Projects located at *archives.gov/records-mgmt/policy/lessons-learned.html.*

NOTES

How Could I Use This in My Agency?

Slide 3-24



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

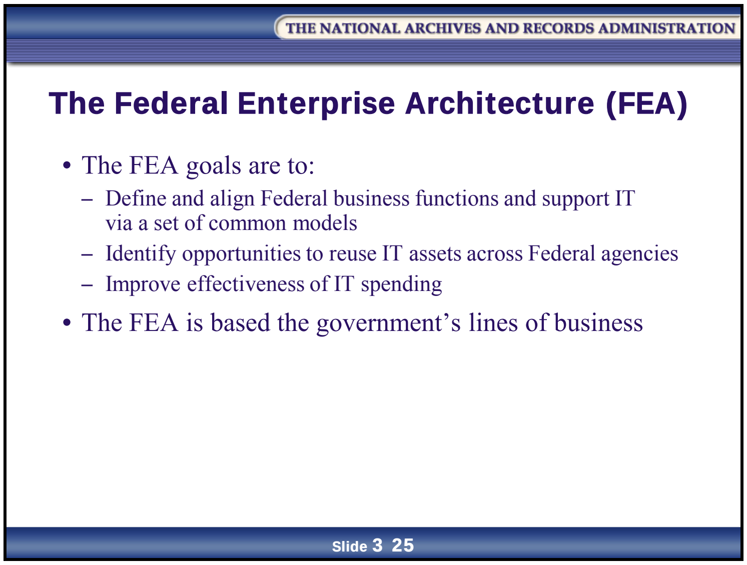
How Could I Use This in My Agency?

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

NOTES

The Federal Enterprise Architecture (FEA)

Slide 3-25



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

The Federal Enterprise Architecture (FEA)

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

Slide 3 25

The Federal Enterprise Architecture (FEA) is managed by OMB. FEA equips Federal agencies with a common language and framework to describe and analyze investments, enhance collaboration, and ultimately transform the Federal Government.

The goals of the FEA are to:

- Define and align Federal business functions and supporting IT via a set of common models
- Identify opportunities to reuse and redeploy IT assets across Federal agencies
- Improve effectiveness of IT spending to help yield substantial cost savings and improve service delivery

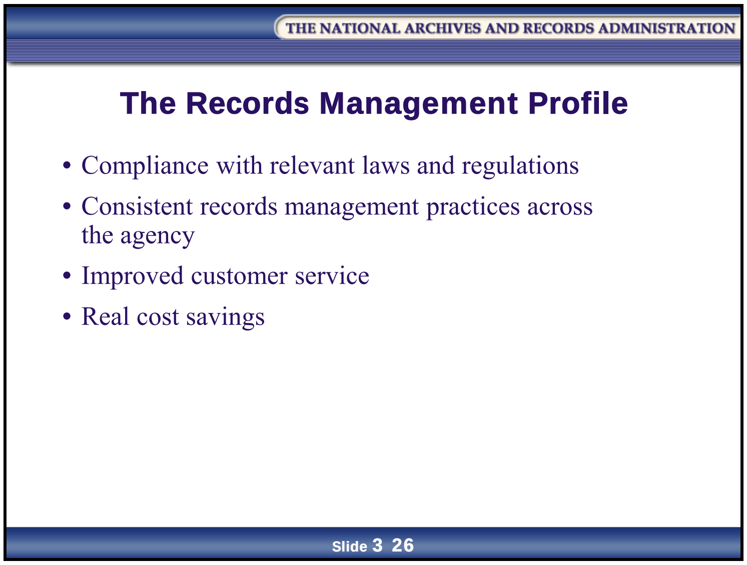
The FEA means that agencies must describe their IT investments in terms of:

- The business operations they will support
- The functional capabilities they intend to deliver
- The supporting technology used to build or deliver the capabilities
- The performance impacts

NOTES

The Records Management Profile

Slide 3-26



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

The Records Management Profile

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

Slide 3 26

Within the work of the FEA, NARA established a Records Management Profile. This profile provides agency decision-makers with a framework for embedding statutory records management requirements and sound records management requirements principles into agency work processes, enterprise architectures, and information systems. This will result in benefits such as:

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

The Records Management Profile uses relevant FEA information to help agencies identify and integrate records management requirements into all aspects of agency business operations.

Additionally, the Records Management Profile includes a description of how each FEA reference model addresses records management, and how agencies can use the various records management resources in the Records Management Profile to improve their records management programs.

NOTES

There are three checklists – developed in partnership with the Department of Treasury, the Department of Interior, and NARA – designed to assist agencies in embedding records management and electronic recordkeeping requirements into their business processes and the FEA program:

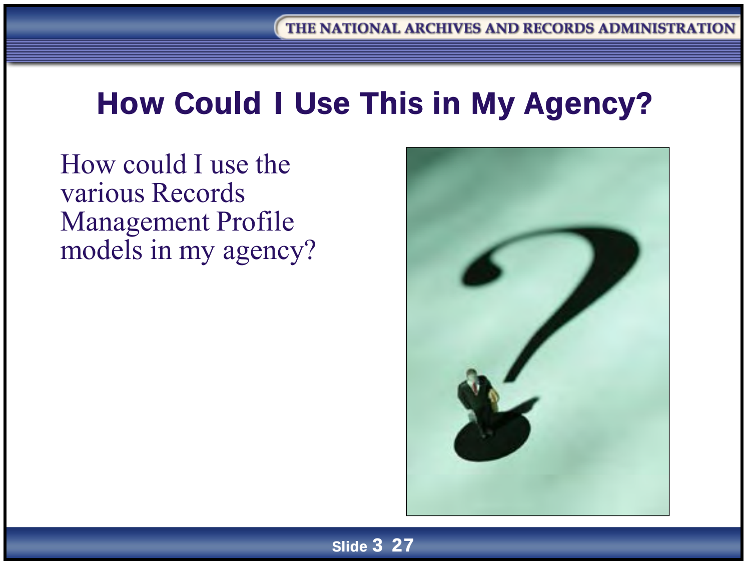
- Systems Development Life Cycle (SDLC) checklist
- Capital Planning and Investment Control (CPIC) checklist
- Business Process Design (BPD) checklist

For more information on the Records Management Profile, see NARA's website at *archives.gov/records-mgmt/initiatives/erm-guidance.html*

NOTES

How Could I Use This in My Agency?

Slide 3-27



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

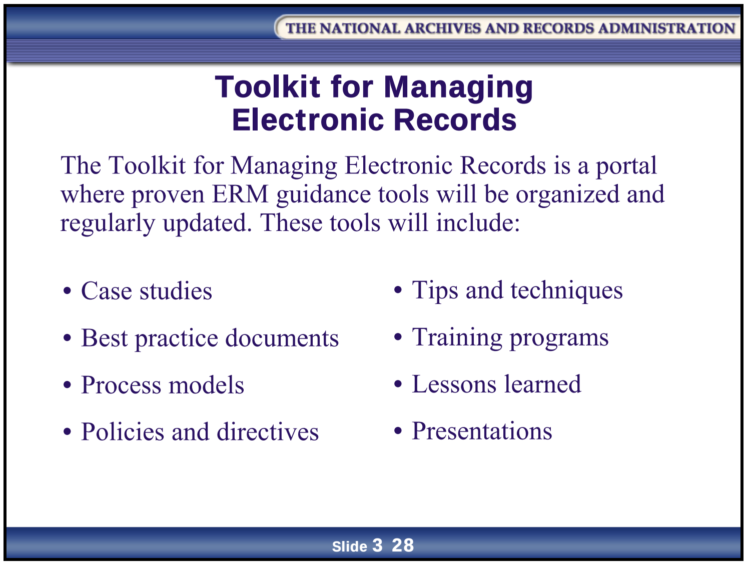
How Could I Use This in My Agency?

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

NOTES

Toolkit for Managing Electronic Records

Slide 3-28



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Toolkit for Managing Electronic Records

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

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

Slide 3 28

NARA’s Toolkit for Managing Electronic Records is an organized portal where a collection of proven ERM guidance tools are available. The toolkit offers guidance on topics such as:

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

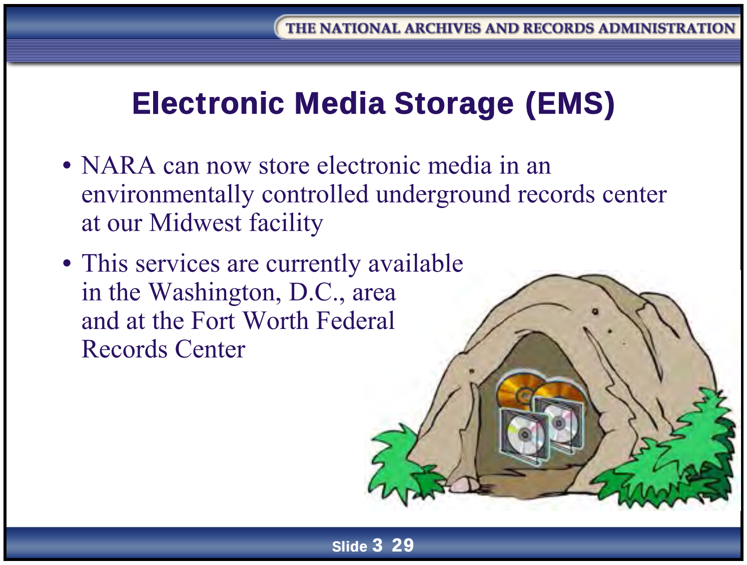
These practical tools can be used by Federal agencies to promote and implement effective ERM.

The Toolkit for Managing Electronic Records is located at archives.gov/records-mgmt/toolkit/.

NOTES

Electronic Media Storage (EMS)

Slide 3-29



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Electronic Media Storage (EMS)

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

Slide 3 29

NARA stores electronic media in an environmentally controlled underground records center at our Midwest facility. This service is also available in the Washington, D.C., area and at the Fort Worth Federal Records Center.

These state-of-the-art facilities store transitory, short- and long-term electronic records. These facilities are specifically outfitted for both permanent and temporary electronic records stored on physical media such as CDs and magnetic tapes.

NOTES

Lesson Summary

In this lesson, you learned that:

- BPA is a tool to discover how business is conducted
- ISO 15489-1-8 covers design and implementation methodology for a sustainable records management system
- DoD 5015.2 provides a base for your agency to set design criteria standards for RMA software
- SDLC provides a structured and standardized process for all system development efforts
- CPIC provides guidance as an agency acquires and implements electronic records management capabilities
- The goal of FEA is to help the government become citizen-centered, results-oriented, and market-based
- The Records Management Profile is a framework that overlays the interrelated FEA reference models
- The Toolkit for Managing Electronic Records is an organized portal with a collection of proven ERM guidance
- NARA stores electronic media in environmentally controlled storage in several FRCs

NOTES

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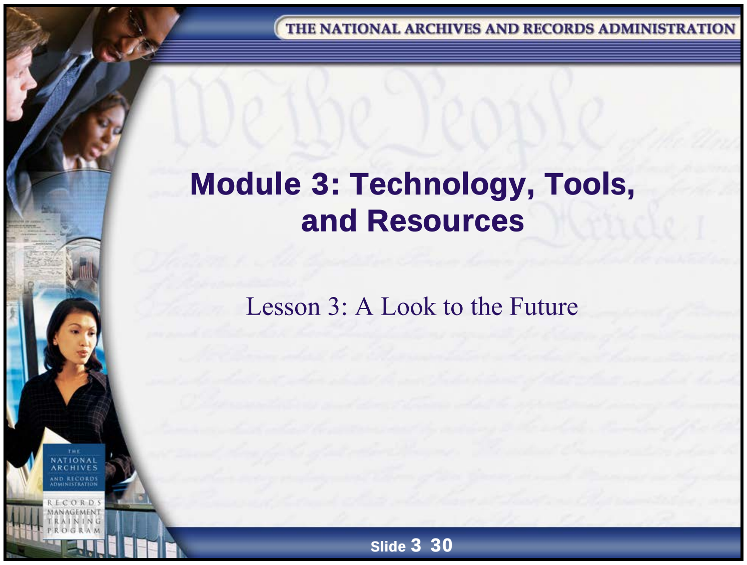
NOTES

Lesson 3: A Look to the Future

Slide 3-30



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Module 3: Technology, Tools, and Resources

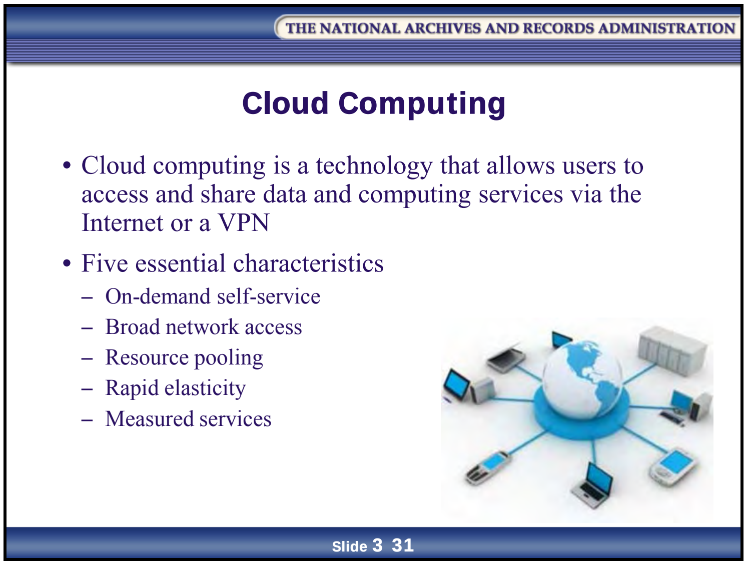
Lesson 3: A Look to the Future

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
RECORDS MANAGEMENT TRAINING PROGRAM

NOTES

Cloud Computing

Slide 3-31



Cloud Computing

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

Cloud computing is a technology that allows users to access and use shared data and computing services via the Internet or a Virtual Private Network (VPN). It gives users access to resources without having to build infrastructure to support storage and maintenance of resources within their own environments or networks. The National Institute of Standards and Technology (NIST) is designated to develop a definition, standards, and guidelines for Federal cloud computing.

NOTES

NIST defines cloud computing as “a model for enabling convenient, on-demand network access to a shared pool of configurable computing resources (e.g., networks, servers, storage, applications, and services) that can be rapidly provisioned and released with minimal management effort or service provider interaction.”

For more information on NIST guidance please visit *nist.gov/itl/cloud/index.cfm*

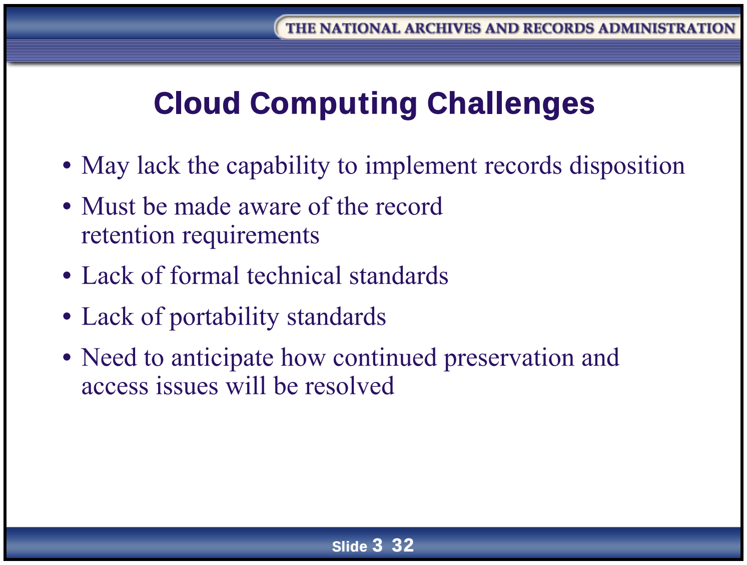
NIST identified five essential characteristics of cloud computing:

- On-demand self-service
  - A consumer can unilaterally provision computing capabilities, such as server time and network storage, as needed automatically without requiring human interaction with each service’s provider
- Broad network access
  - Capabilities are available over the network and accessed through standard mechanisms that promote use by heterogeneous thin or thick client platforms (e.g., mobile phones, laptops, and PDAs)
- Resource pooling
  - The provider’s computing resources are pooled to serve multiple consumers using a multi-tenant model, with different physical and virtual resources dynamically assigned and reassigned according to consumer demand
- Rapid elasticity
  - Capabilities can be rapidly and elastically provisioned, in some cases automatically, to quickly scale out, and rapidly released to quickly scale in
- Measured services
  - Cloud systems automatically control and optimize resource use by leveraging a metering capability at some level of abstraction appropriate to the type of service (e.g., storage, processing, bandwidth, and active user accounts). Resource usage can be monitored, controlled, and reported providing transparency for both the provider and consumer of the utilized service.

NOTES

Cloud Computing Challenges

Slide 3-32



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Cloud Computing Challenges

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

Slide 3 32

NARA identified several records management challenges with cloud computing environments:

- Cloud applications may lack the capability to implement records disposition schedules, including the ability to transfer and permanently delete records or perform other records management functions
- Depending on the application, cloud service providers must be made aware of the record retention requirements governing a given body of Federal records stored in one or more cloud locations
- Various cloud architectures lack formal technical standards governing how data are stored and manipulated in cloud environments
- A lack of portability standards may result in difficulty removing records for recordkeeping requirements or complicate the transition to another environment
- Agencies and cloud service providers should anticipate how continued preservation and access issues will be resolved in a contingency where the cloud service provider's business operations materially change (e.g., bankruptcy), or cease altogether

See NARA Bulletin 2010-05, Guidance on Managing Records in Cloud Computing Environments located at *archives.gov/records-mgmt/bulletins/2010/2010-05.html*.

NOTES

Social Media Records

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Social Media Records

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

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Social media refers to the various activities integrating Web technology, social interaction, and user-generated content. Social media includes blogs, wikis, social networks, photo libraries, virtual worlds, location-based services, and video sharing sites. Agencies use social media both internally and externally to share information, support business processes and connect people to government. Social media allows individuals to collaborate, create, organize, edit, comment on, combine, and share content, likely resulting in the creation of Federal records.

Social media platforms can be grouped into several categories:

Web Publishing: Platforms used to create, publish, and reuse content:

- Microblogging (Twitter, Plurk)
- Blogs (WordPress, Blogger)
- Wikis (Wikispaces, PBWiki)
- Mashups (Google Maps, popurls)

NOTES

Social Networking: Platforms used to provide interactions and collaboration among users:

- Social networking tools (Facebook, Linkedln)
- Social bookmarks (Delicious, Digg)
- Virtual worlds (Second Life, OpenSim)
- Crowdsourcing and social voting (IdeaScale, Chaordix)

File Sharing/Storage: Platforms used to share files and host content storage:

- Photo libraries (Flickr, Picasa)
- Video sharing (YouTube, Vimeo)
- Storage (Google Docs, Drop.io)

When using Web 2.0 and social media platforms, the following nonexhaustive list of questions may help determine record status:

- Is the information unique and not available anywhere else?
- Does it contain evidence of an agency’s policies, business, mission, etc.?
- Is this tool being used in relation to the agency’s work?
- Is use of the tool authorized by the agency?
- Is there a business need for the information?

If the answers to any of the above questions are yes, then the content is likely a Federal record. For more information, please visit *archives.gov/records-mgmt/bulletins/2011/2011-02.html*.

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Social Media Challenges

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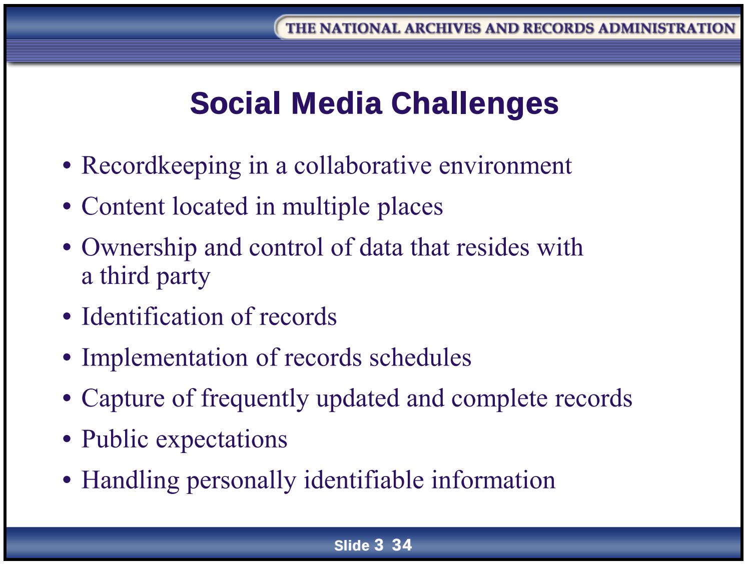

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Social Media Challenges

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

Slide 3 34

Due to the dynamic and collaborative nature of social media, agencies face the following challenges:

- Recordkeeping in a collaborative environment
- Content located in multiple places
- Ownership and control of data that resides with a third party
- Identification of records
- Implementation of records schedules, including the ability to transfer and permanently delete records or perform other records management functions
- Capture of frequently updated records
- Capture of complete records in a manner that ensures their authenticity
- Public expectations that all Web content is both permanently valuable and accessible
- Handling of records containing personally identifiable information

How to address challenges

Agencies must articulate clear processes, policies, and recordkeeping roles and responsibilities to ensure social media records are identified, managed, and captured.

NOTES

The Web

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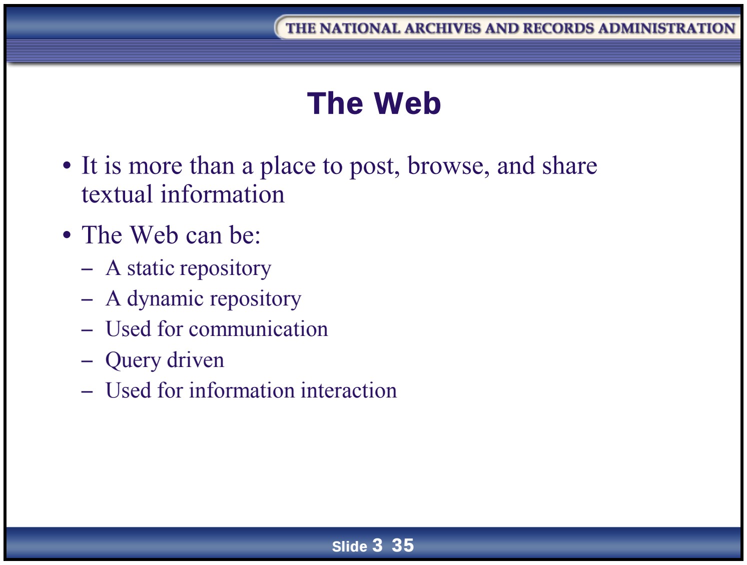

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The Web

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

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The Web is more than a place to post, browse, and share textual information.It is a place for experiencing and sharing more complex information, for commerce, and interactive applications.

How do AROs and archivists view the preservation of a website's information?

As organizations increase Web usage, questions arise about who controls the accuracy of information posted; whether the information. It is credible and up-to-date; and issues of ownership of the content.

NOTES

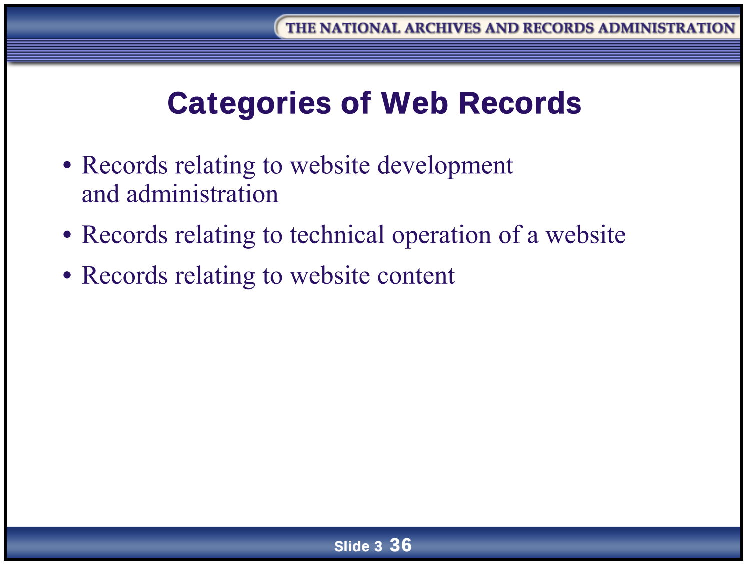
How websites are used:

- **Static repository** – This repository is used to view and download agency publications, but is infrequently updated
- **Dynamic repository** – This is the same as a static repository, but materials are changed more frequently to keep information accurate and relevant
- **Communications** – Messages sent by the public via Web mailboxes are generally captured in the agency email system. As a result, they are not part of the website.
- **Query-driven** – A website serves as a front-end interface for databases and other “back-end” services that are updated frequently
- **Information interaction** – A website is a significant mechanism for public interaction: electronic fill-in forms, electronic town meetings, soliciting comments, etc. Information supplied by end users and displayed on the site changes frequently.

NOTES

Categories of Web Records

Slide 3-36



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Categories of Web Records

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

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There are three categories of Web records:

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

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Apply What You Know About Electronic Records to Web Records

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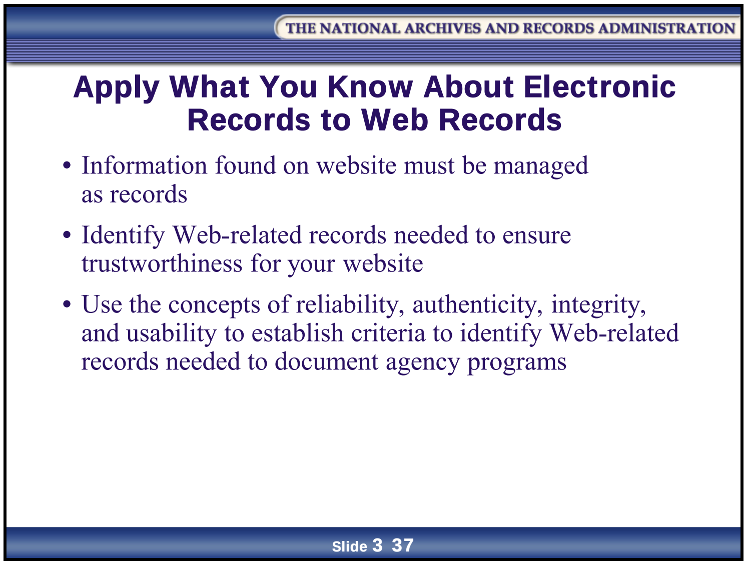

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Apply What You Know About Electronic Records to Web Records

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

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You need to apply what you have learned about electronic records to Web records. You must identify those Web-related records needed to ensure trustworthiness for your website. Use the concepts of reliability, authenticity, integrity, and usability to establish criteria to identify Web-related records needed to document agency programs.

The following list contains some of the major types of information found on websites that must be managed as records. These types of information may exist in electronic or nonelectronic format.

Types of website records:

- HTML-encoded pages
- Images of Web content pages
- Listings of URLs referenced by a site
- Records generated interactively on the Web
- Web design records
- Copyrighted webpage content and records documenting use of such content

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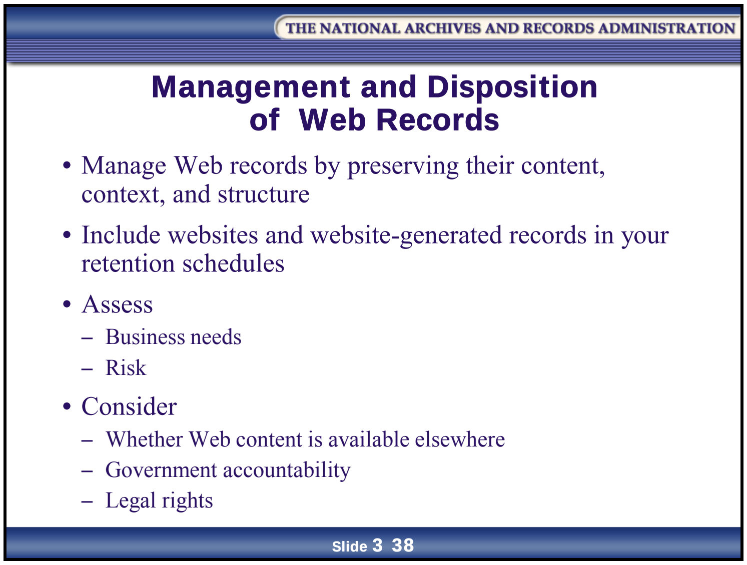
Management and Disposition of Web Records

Slide 3-38



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Management and Disposition of Web Records

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

Manage Web records by preserving their content, context, and structure. Be sure to include websites and website-generated records in your records schedules.

- Assess
  - Business needs
  - Risk
- Consider
  - Whether Web content is available elsewhere
  - Government accountability
  - Legal rights

For NARA guidance, see *archives.gov/records-mgmt/policy/managing-web-records-index.html*.

NOTES

Lesson Summary

In this lesson, you learned that:

- Cloud computing consists of five essential characteristics:
  - On-demand self-service
  - Broad network access
  - Resource pooling
  - Rapid elasticity
  - Measure service
- Agencies use social media both internally and externally to share information, support business processes and connect people to government
- Manage Web records by preserving their content, context, and structure
- NARA is responding to the records management challenges of the 21st century with various tools and resources

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Module 3 Review and Wrap-Up

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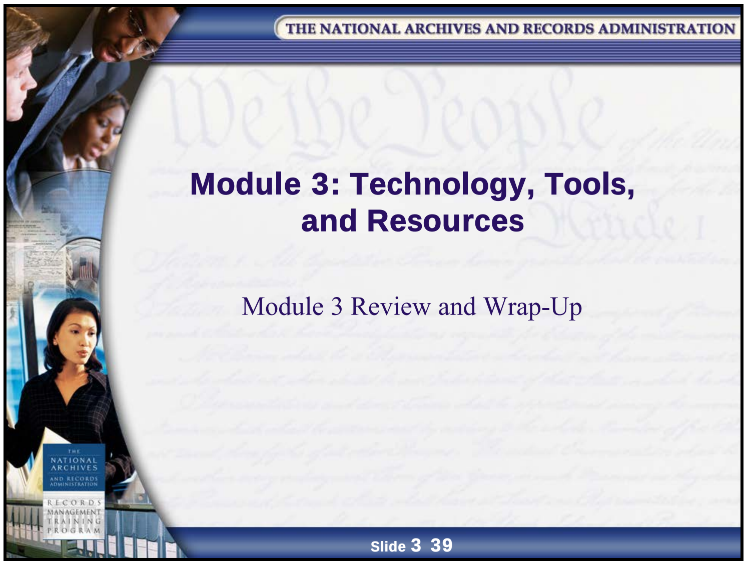

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Module 3: Technology, Tools, and Resources

Module 3 Review and Wrap-Up

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Module Review

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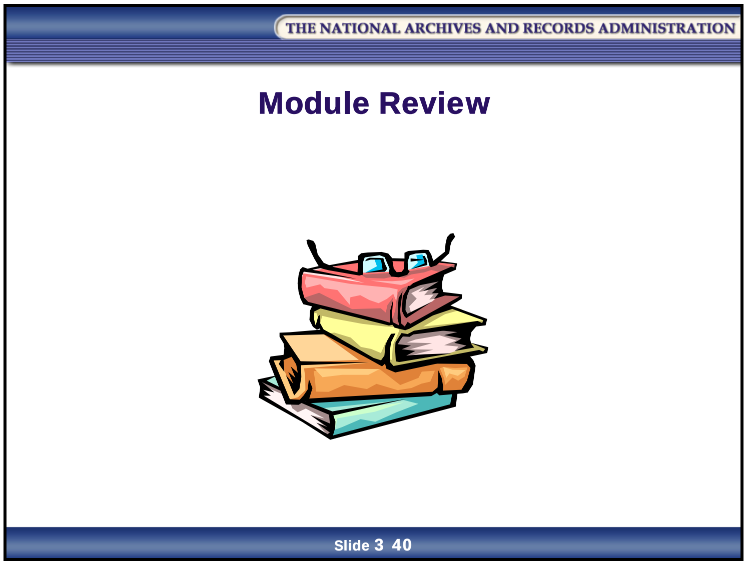

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Module Review

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In Module 3, you learned:

- How records management is managed by most Federal agencies in today’s environment
- That there are many records management challenges in today business environment
- That there are tools available for implementing effective records management strategies
- Cloud computing is a technology that allows users to access and use shared data and computing services via the Internet or a Virtual Private Network (VPN)
- Agencies use social media both internally and externally to share information, support business processes, and connect people to government
- Agencies must include websites and website-generated records in their records retention schedules

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Module Review Activity

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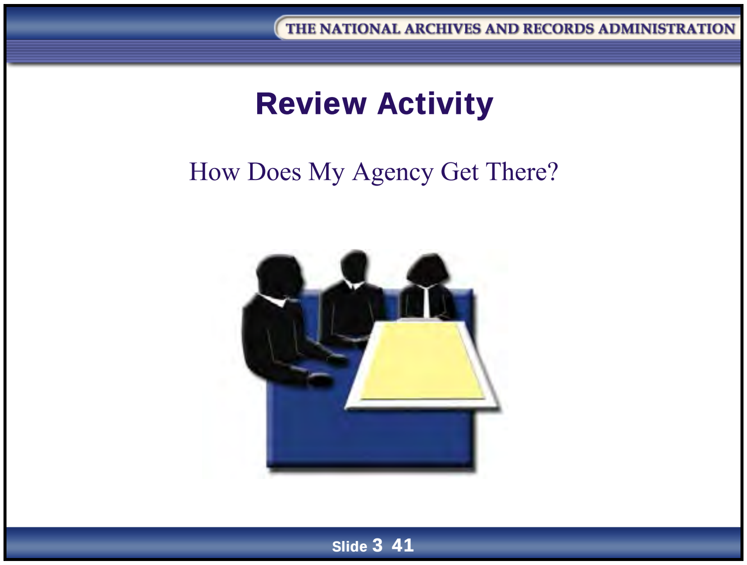

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Review Activity

How Does My Agency Get There?

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Review Activity: How Does My Agency Get There?

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Table 3-3: How Does My Agency Get There? Worksheet

No.	Determine the TOP TWO PRIORITIES for your agency so it can move toward a 21st century Records Management Program. Justify your choices.	Whom must you involve to help you address this priority?	What tools or resources will you use to help you address this priority?
0.	Example: We must schedule records in a program's Case Management System. Although the system has been in use for two years, there is no schedule, and the data are clearly "records."	Example: Program Manager, System Administrator, Records Liaison, Agency Contractor	Example: DoD 5015.2; ISO 15489-1-8 My agency's NARA appraisal archivist
1.			
2.			

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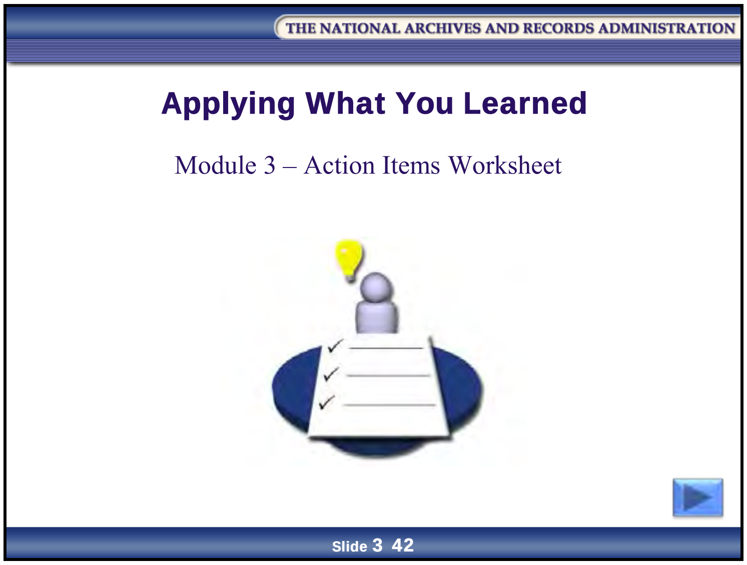
Applying What You Learned

Slide 3-42



THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Applying What You Learned

Module 3 – Action Items Worksheet

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Reflect upon what you have learned in Module 3 and how you will apply it to your job.

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Module 3 – Action Items Worksheet

What did I learn about technology, tools, and resources for records management that will help me at my job? List at least one thing that you learned about technology, tools, and resources for records management that is relevant to your records management roles and responsibilities.
How will I apply what I learned about technology, tools, and resources and the way records management should be handled in the future, that will apply to my job? List at least one thing you learned about technology, tools, and resources and the way records management should be handled in the future that you will apply to your job, and explain how you will apply it.
What "aha!" moments did I have during this module? List any "aha!" moments you experienced during this module. (As an example, "Computers fundamentally changed the way records management is handled!?! Aha!")

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