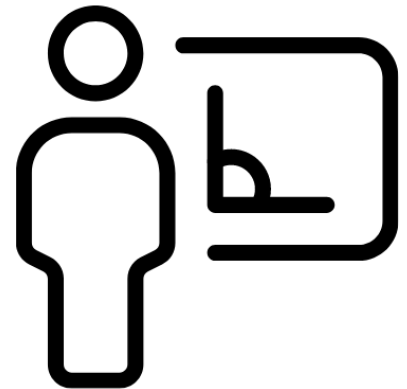


Instructors Guide



On the following pages is a sample module from our Instructor Guide. It provides the instructor with a copy of the material and a Lesson Plans box.

The key benefit for the trainer is the Lesson Plan box. It provides a standardized set of tools to assist the instructor for each lesson. The Lesson Plan box gives an estimated time to complete the lesson, any materials that are needed for the lesson, recommended activities, and additional points to assist in delivering the lessons such as Stories to Share and Delivery Tips.



Module Two: Understanding Records



Records are in every organization. From purchasing receipts to tax documents to communications, they need to be identified and managed properly. The method of records management that a company uses should be tailored to fit the needs of the organization. There are, however, some basic concepts in most records management systems.

What is Records Management?



Records management systems will create uniformity and understanding. Regardless of how the records management system is organized, the management will affect the way that data is collected, stored and accessed.

Aspects of Records Management

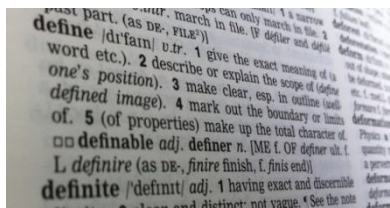
- Establish a company filing system that is uniform
- Determine the storage of physical, confidential records
- Develop programs for consistent management of records
- Create archives and resource libraries

Over the course of this instruction, you will develop a better understanding of these aspects and how they connect in records management.

Estimated Time	7 minutes
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Topic Objective	Review the definition of records management.
Topic Summary	What is Records Management? Discuss the different aspects of records management.
Materials Required	Flipchart/board, marker
Planning Checklist	None
Recommended Activity	Discuss the aspects of records management. Consider the different methods of filing systems and ways to store records. Write answers on the board/flipchart. Discuss how these work in different settings.
Stories to Share	Share any personal, relevant stories.
Delivery Tips	Encourage everyone to participate.
Review Questions	What does a records management system create?

Defining Records



All records are documents, but not all documents are records. A document can be a contract, email, business negotiation, etc. If it relates to the legal obligations, evidence, or business transactions, the document becomes part of the legal record. When identifying a record, it is necessary to consider the purpose of the document.

- Is it personal, or business?
- Does it relate to a transaction?
- Does it reflect any company action or activity?
- Does it have legal implications?

Once a document has been identified as a record, it must be carefully maintained for future use.

Estimated Time	8 minutes
Topic Objective	Review the types of contracts.
Topic Summary	Defining Records Discuss what documents would need to be saved as records.

Materials Required	Flipchart/board, marker
Planning Checklist	Bring in examples of different types of records, or share pictures of each.
Recommended Activity	Consider the different records, and list them on the flipchart/board.
Stories to Share	Share any personal, relevant stories.
Delivery Tips	Encourage everyone to participate.
Review Questions	What are all records?

Archives vs. Records



Records can become part of archives. Archives are records that are no longer current but are preserved past average records. Records are kept for varying lengths of time, depending on what they are. Once documents pass the necessary time for storage, they are disposed of, or they are placed in archives. Archives typically have a historical, political, or legal reasons. They have value for the long-term. For example, documents that provide legal protection might be archived along with the founding documents of an organization. When choosing to dispose of documents in records, or keeping them, remember that only a few of the documents will be archived. Archives may be stored on site, although some institutions will keep them offsite. Larger organizations with multiple locations are more likely to use offsite archives.

Estimated Time	8 minutes
Topic Objective	Review the difference between archives and records.
Topic Summary	Archives vs. Records Discuss the difference between archives and records.
Materials Required	Flipchart/board, marker
Planning Checklist	None
Recommended Activity	Create a list of different types of documents. Have the class identify if they should be archived or disposed and explain why.
Stories to Share	Share any personal, relevant stories.
Delivery Tips	Encourage everyone to participate.

Review Questions	What value do archives have?
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Life Cycle



There are differing definitions for document life cycles, which have become even more complicated with the introduction of electronic records. In this text, there is a blend of the classic cycle and the life history.

The Life of Records:

1. Documents are created or received. Records are identified.
2. Identified documents are captured for record-keeping. The captured files follow the necessary business practices and are current.
3. Record management occurs. The records are stored, used, or maintained. The records may be current or not current. Records that are no longer considered current may become current again in events such as audits.
4. Records are assessed and action taken. The records are identified as in use, necessary to maintain, necessary to dispose of, or necessary to archive.

Estimated Time	8 minutes
Topic Objective	Review the life cycle of records.
Topic Summary	Life Cycle Discuss the life cycle of records
Materials Required	Worksheet 1: Life Cycle
Planning Checklist	None
Recommended Activity	Complete the worksheet individually. Share your answers with the rest of the class.
Stories to Share	Share any personal, relevant stories.
Delivery Tips	Encourage everyone to participate.
Review Questions	What is true of document life cycles?

Practical Illustration



Duncan and Mario opened a small business together. Mario was in charge of the paperwork, while Duncan was in charge of driving the sales. After six years, the company was audited by the IRS because of questionable deductions. The business partners decided to prepare, and Mario pulled out the tax returns. Duncan asked for the receipts, and Mario told him that he threw out the first year's receipts because he heard that no one looks past five years.

Module Two: Review Questions

1.) What is Not affected by records management?

- a) **The way data is defined**
- b) The way data is stored
- c) The way data is collected
- d) The way data is accessed

Records management defines the way that data is collected, stored, and accessed. The records management system does not alter the definition of the data.

2.) What determines the shape that a records management system will take?

- a) They will all be the same
- b) **Organizational needs**
- c) People
- d) Age of the organization

Records management specifics will be determined by the needs of the organization. These needs can include, but are not limited to the people in the organization as well as its age.

3.) What type of email does not need to be archived?

- a) Those that detail business matters
- b) **Those that detail personal matters**
- c) Those that detail legal matters
- d) All emails need to be recorded

Emails can be records. They are records when they detail the business aspects or the legal aspects of the organization.

4.) What determines if the document becomes part of a record?

- a) The parties involved
- b) The age of the document
- c) The sender of the document
- d) **The purpose of the document**

The purpose of a document will determine if it is part of a record. While most documents between organizations are part of records, some correspondence may not relate to business purposes.

5.) How long are records kept?

- a) They are kept 5 years
- b) They are kept 7 years
- c) It depends on the record
- d) They are kept 10 years

Records are kept for varying lengths of time. The time necessary for their maintenance should be considered before their disposal.

6.) What is not a reason to archive something?

- a) Personal
- b) Historical
- c) Political
- d) Legal

Personal documents are not held as records. They are also not recorded as archives. Archives typically have legal, political, and historical significance.

7.) What occurs after documents are created?

- a) They are disposed of
- b) They are identified as records
- c) They are captured
- d) They are managed

Documents are created or received in the first step of the life cycle. At this stage they are identified as records. After records are identified, they are captured and then managed.

8.) What occurs immediately before action is taken with records?

- a) Capture
- b) Assessment
- c) Management
- d) Nothing

Taking action is the final step in the cycle. Records are first assessed to determine what should be done with them, disposal, maintenance, or archive.

9.) What type of records might be found in an organization?

- a) Purchasing receipts
- b) Tax documents
- c) Communications
- d) All of the above

Records are in every organization. From purchasing receipts to tax documents to communications

10.) Records management systems will create _____ and _____.

- a) Uniformity
- b) Understanding
- c) A and B
- d) None of the above

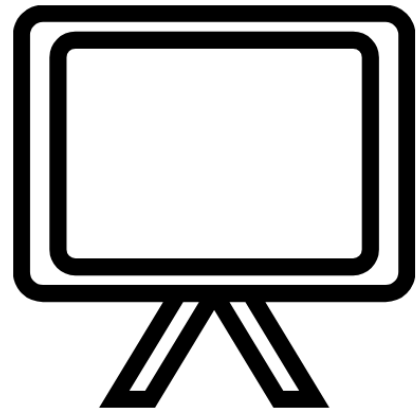
Records management systems will create uniformity and understanding

PowerPoint Slides



Below you will find the PowerPoint sample. The slides are based on and created from the Instructor Guide.

PowerPoint slides are a great tool to use during the facilitation of the material; they help to focus on the important points of information presented during the training.





MODULE TWO

Understanding Records

The method of records management should be tailored to fit the needs of the organization.

From purchasing receipts to tax documents to communications, records need to be identified and managed properly.



What is Records Management?

Regardless of how the records management system is organized, the management will affect the way that data is collected, stored and accessed.

Defining Records

- Is it personal, or business?
- Does it relate to a transaction?
- Does it have legal implications?



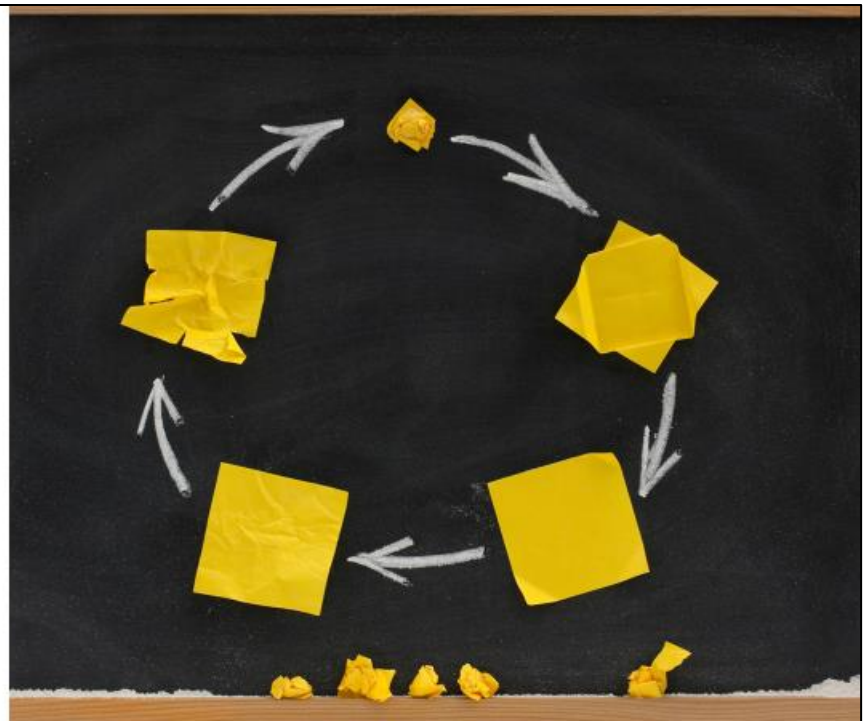


Archives vs. Records

Archives are records that are no longer current but are preserved past average records. Records are kept for varying lengths of time, depending on what they are.

Life Cycle

There are differing definitions for document life cycles, which have become more complicated with electronic records.



Practical Illustration



- What is Records Management?
- Defining Records
- Archives vs. Records
- Life Cycle

Module Two: Review Questions

1. What is Not affected by records management?

A. The way data is defined

B. The way data is stored

C. The way data is collected

D. The way data is accessed

Quick Reference Sheets



Below is an example of our Quick Reference Sheets. They are used to provide the participants with a quick way to reference the material after the course has been completed. They can be customized by the trainer to provide the material deemed the most important. They are a way the participants can look back and reference the material at a later date. They are also very useful as a take-away from the workshop when branded. When a participant leaves with a Quick Reference Sheet it provides a great way to promote future business.



Archiving and Records Management

Quick Reference Sheet



Defining Records

All records are documents, but not all documents are records. A document can be a contract, email, business negotiation, etc. If it relates to the legal obligations, evidence, or business transactions, the document becomes part of the legal record. When identifying a record, it is necessary to consider the purpose of the document.

Is it personal, or business?



Does it relate to a transaction?



Does it reflect any company actions or activity?



Does it have legal implications?



Once a document has been identified as a record, it must be carefully maintained for future use.

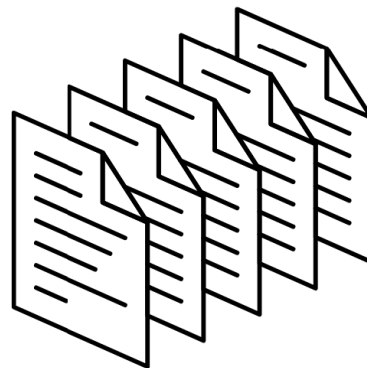
What is Records Management?

Records management systems will create uniformity and understanding. Regardless of how the records management system is organized, the management will affect the way that data is collected, stored and accessed.

Aspects of Records Management

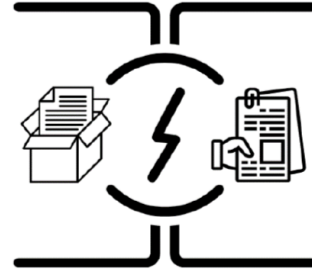
- Establish a company filing system that is uniform
- Determine the storage of physical and confidential records
- Develop programs for consistent management of records
- Create archives and resource libraries

Over the course of this instruction, you will develop a better understanding of these aspects and how they connect in records management and which work in different organizational settings.



Archives vs. Records

Records can become part of archives. Archives are records that are no longer current but are preserved past average records. Records are kept for varying lengths of time, depending on what they are. Once documents pass the necessary time for storage, they are disposed of, or they are placed in archives. Archives typically have a historical, political, or legal connection. They have value for the long-term. For example, documents that provide legal protections might be archived along with the founding documents of an organization. When choosing to either dispose of documents in records or keep them, remember that only a few of the documents will be archived. Archives may be stored on site, although some institutions will keep them offsite. Larger organizations with multiple locations are more likely to use offsite archives.



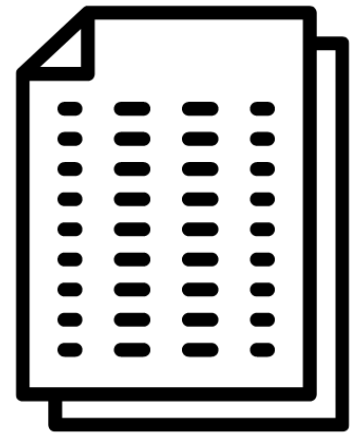
Handouts



Each course is provided with a wide range of worksheets.

Worksheets help check your participants' understanding. If a lesson calls for a worksheet, it will be listed in the Lesson Plan box under Materials Required. All worksheets are customizable and can be found in the Appendix of the Instructor Guide and the Training Manual.

As a trainer, icebreakers give your participants the opportunity to get to know each other better or simply begin the training session on a positive note. Icebreakers promote collaboration, increase engagement, and make your training more light-hearted and fun. Below is an example from the Icebreakers folder.



Sample Worksheet 1

Life Cycle

Choose 1 through 4 to indicate where a document is in the life cycle.

1. A contract is received. _____
2. A record is disposed of. _____
3. An old tax return is pulled for an audit. _____
4. A document is filed with others. _____

Notes: _____

Icebreaker: Related Topic

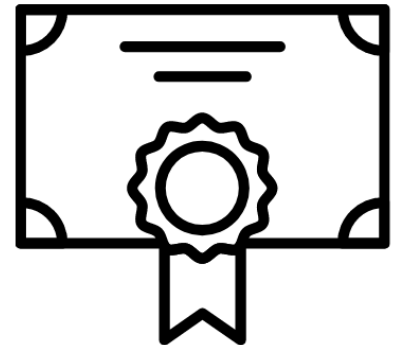
Include a short activity here that is related to the topic of the workshop. You can use the one below if you like.

1. Have the participants at each table answer the following questions:
 - a. Why are they here?
 - b. What is their level of experience with managing and archiving records?
 - c. What they hope to get from this class?
 - d. What was their most memorable vacation or trip?
2. Have someone be designated a scribe and have them jot down the answers to question C above.
3. On a separate piece of paper, have the scribe write down the most interesting or exotic vacation or trip from only one table member.
4. Have the scribe hand the note with the answers to question C to you.
5. Have the scribe stand and introduce the table to the class.
6. Then have the scribe share the most interesting vacation or trip from their group.
7. Have the class guess the person that had the most interesting or exotic trip or vacation.
8. Go around to each table until all have given you their answers to question C and shared their most interesting trip or vacation.
9. Debrief by sharing all the answers to question C with the class.
10. Thank participants for sharing.

Certificate of Completion



Every course comes with a Certificate of Completion where the participants can be recognized for completing the course. It provides a record of their attendance and to be recognized for their participation in the workshop.



CERTIFICATE OF COMPLETION

[Name]

Has mastered the course

Archiving and Records Management

Awarded this _____ day of _____, 20____

Presenter Name and Title
