**Society of American Archivists
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Virtual Meeting**

SAA Committee on Education: Proposal for a Records and Information Management Education Program
(Prepared by: Courtney Bailey (chair), Leanna Barcelona, Scott Keefer, and Kathy Wisser with input from SAA Chief of Training and Organizational Development Rana Salzmann)

BACKGROUND

In 2019, SAA's Records Management Section began investigating the possibility of a new Records and Information Management (RIM) certificate program in response to a survey of their membership that indicated an interest in broader educational opportunities within SAA. The RMS Steering Committee presented a [proposal](#) to the SAA Committee on Education in March 2020. In April 2020, the Committee on Education discussed a proposal from SAA's Records Management Section for a new SAA certificate focused on Records and Information Management to address unmet needs of SAA members, especially archivists with records management responsibilities. In consultation with the Director of Education, the Committee on Education discussed options for including records and information management competencies within existing SAA courses or adding new records and information management courses to the existing curricula. In September 2021, the Committee on Education organized a working group to investigate the proposal. From September 2021 through May 2022, the Committee on Education's Records and Information Management working group reviewed the Records Management Section's proposal and began drafting this business case for a Records and Information Management (RIM) certificate program. In May 2022, the working group led a coffee chat with the Records Management Section for consultation and comment on a draft of the business case, especially core competencies and tiers of study, which the working group then incorporated into the business case. In June 2022, the working group requested comments from the Committee on Education on the business case for an RIM certificate program. The working group submitted a proposal to SAA Council for consideration at their August 2022 meeting. This updated proposal responds to the feedback received on that proposal.

DISCUSSION

The Committee on Education's Records and Information Management (RIM) working group considered the lack of available records management courses in SAA's course

catalog. See [Appendix](#) for evaluations of relevant existing SAA courses through an RIM lens. As the Records Management Section raised in their proposal, other records management professional organizations do not meet the needs of archivists serving as records managers or archivists seeking to gain new knowledge and skills related to records and information management. In the current professional development landscape, the training needs of those who are trained as archivists but also take on (or are assigned) the role of records manager are not being met, and SAA is well-positioned to address this void.

Some other professional organizations offer training related to records and information management. ARMA offers an Essentials of RIM Certificate program. It requires 8 units of study plus a comprehensive exam and is targeted at "entry-level information management professionals and other individuals whose jobs involve records, such as attorneys, paralegals, IT specialists, and administrators." The Institute of Certified Records Managers offers a Certified Records Manager designation, which requires 6 exams; this certification must be maintained over each subsequent 5-year period. NAGARA offers a Government Archives and Records Administration Certificate Program, which recognizes the completion of 40 hours of approved courses in archives and records management competencies.

The benefits of an educational program from SAA in RIM comes from the fact that members of SAA are typically taking on records management duties in addition to their workload as archivists. ARMA, for example, designs their coursework around new information professionals, as well as attorneys, paralegals, IT specialists, and administrators and requires some course content not relevant to the audience this proposal targets. SAA members investing in this program will likely be somewhat established professionally but very clearly not in the realm of attorneys, paralegals, etc. Thus, an SAA program could provide an archivist taking on RIM duties the knowledge and skills to better manage the entirety of the information lifecycle. Furthermore, many archivists are employed in institutions that do not have full-time records managers, whereas many courses and training programs by AIIM, ARMA, and NAGARA are targeted towards full-time records managers. For example, NAGARA's program is geared strictly towards records management in the government sector, which, though certainly a sizable portion of SAA's membership, does not encompass all in the archives profession who might want RIM training.

After this an extensive review of the current market for records and information management continuing education options, the Records Management Section determined that:

1. "SAA can offer a program that is more applicable to academic and cultural heritage organizations than what's available from ARMA, AIIM, the Institute of Certified Records Managers (ICRM), and NAGARA.
2. By including a number of online training options, SAA can offer a program that is more affordable than those offered by ARMA, AIIM, and ICRM, thereby addressing diversity, equity, and inclusion for the profession.

3. Where other organizations offer a very prescribed curriculum, SAA can offer a variety of courses to meet the needs of all sorts of records managers at various stages of their careers."

The Records and Information Management Section also identified a list of experts to contact as potential instructors, which greatly assists in the Committee on Education's instructor support and recruitment initiatives.

RECOMMENDATION

THAT the SAA Council approve the following Records and Information Management certificate requirements

Or THAT the SAA Council approve a Records and Information Management track program:

Option Number 1: Similar to the Digital Archives Specialist and Arrangement and Description certificate programs, we propose having participants take courses from each tier in order to receive the records and information certificate.

RIM Certificate Curriculum Structure
Core Competencies
1. Understand RIM issues and best practice 2. Communicate and define requirements, roles, and responsibilities related to records management to a variety of partners and audiences 3. Formulate tactics and strategies for the identification, appraisal, scheduling, management, and disposition of records 4. Integrate technologies, tools, and software within existing functions for the capture and preservation of digital and paper records 5. Provide dependable organization and service to designated communities across networks 6. Communicate RIM policies and procedures through in-person and virtual training

Tiers of Study (highlighted courses already in SAA catalog)
  · Foundational Courses (2)
    ○ Records Management Introduction
    ○ Retention schedules (how to write/update them)
    ○ Managing active digital records
      ▪ Basics of Managing Digital Records
    ○ Legal parameters of RM (regulations, discovery, etc.)
    ○ Carrying out disposition
  · Tactical and Strategic Courses (2)
    ○ Negotiating/change management/involving stakeholders & records champions
      ▪ Change Management: How Do You Tackle It?

- Disaster planning and essential records
- Making RIM part of HR onboarding/offboarding
- Storage, retrieval, and carrying out paper/digital migrations
- Records Management for Archivists
· Tools and Services Courses (2)
  - Selecting and maintaining Document Management Systems (DMS) and Electronic Records Management Systems (ERMS)
  - Pedagogy/how to conduct effective RIM training
    - Train the Trainer: Building a Successful Continuing Education Course
    - Designing and Presenting Effective Online Learning
  - Conducting/preparing for cybersecurity and mandated security scans and other privacy issues
  - Managing digital communications
    - Email Archiving: Strategies, Tools, Techniques
  - Planning and carrying out a digitization initiative
· Transformational Courses (1)
  - Compliance with records retention and disposition schedules

Earning the RIM Certificate

A certificate participant has successfully completed (i.e., attended and/or passed examinations for) seven required courses from the four tiers listed below. A minimum of two courses must be interactive, taken in person or synchronously; the remaining five courses may be taken as webcasts or in person. Each course will include an assessment. Participants will have 24 months to complete all coursework. More knowledgeable participants may elect to test out of Foundational courses.

- Two Foundational courses
- Two Tactical and Strategic courses
- Two Tools and Services course
- One Transformational course

Maintaining the RIM Certificate

The certificate will be valid for five years. There are multiple pathways for renewal – by RIM coursework and by petition, which would follow the newly approved DAS renewal model. Activities that could count toward renewal by petition include case study publication, course development for SAA, RIM-relevant software development, leadership of a task force for the Records Management Section, and professional mentoring. We are committed to helping grow the library of courses offered through SAA, but the flexibility offered by the renewal-by-petition model will ensure long-term sustainability of a certificate program.

Option Number 2: Like the recently launched Management Track, we propose having participants take one course from each competency in order to complete the records and information management track. This will allow participants to choose the specific course within a competency that most addresses their professional needs. The competencies are ordered to allow archivists new to the field of RIM responsibilities to acquire knowledge and skills in the order in which they will need to be exercised.

Where those who earn a DAS or A&D certificate can renew that certificate over time by taking additional courses, the working group does not believe it will be necessary to make the RIM track renewable. While participants would be welcome to take additional courses over time, there would be no cumulative effect from these additional courses. This approach would eliminate the need for SAA Education to track renewal credits.

RIM Track Program Competencies & Related Courses

Information and Record Creation and Use

Records and information professionals inventory the information and records being received and created in their organization and appraise their primary and secondary uses.

Gaps: Retention schedules (how to write/update them)

Records Systems/Storage/Retrieval

Records and information professionals identify and adopt the best systems for storing and retrieving physical and electronic records within their organizational context and stay abreast of the changing technology landscape and changing organizational needs.

Existing Courses:
- Email Archiving: Strategies, Tools, Techniques
- Basics of Managing Digital Records

Gaps:
- Storage and carrying out paper/digital migrations
- Selecting and maintaining Document Management Systems (DMS) and Electronic Records Management Systems (ERMS)

Legal Requirements and Compliance

Records and information professionals know the legal requirements of managing records and information, including confidentiality, custody, intellectual property, privacy, security, and any relevant public records statutes. They also bear responsibility for navigating the policy requirements of their institution, including compliance with records retention schedules.

Gaps:
- Legal parameters of RM (regulations, discovery, etc.)
- Conducting/preparing for cybersecurity and mandated security scans

Retention and Disposition of Records

Records and information professionals evaluate the legal, administrative, and fiscal requirements for and business uses of records and information, write retention schedules to communicate recommendations about their retention, and oversee the appropriate disposition of records at the end of their lifecycle.

Gaps:
- Carrying out disposition
- Planning and carrying out a digitization initiative
- Compliance with records retention and disposition schedules
- Retention schedules (how to write/update them)

Outreach and Training

Records and information professionals provide training and expertise on records management to stakeholders and records champions. This requires communicating the importance and necessity of records and information management for transparency, accountability and risk management.

Existing Courses:
- [Train the Trainer: Building a Successful Continuing Education Course](#)
- [Designing and Presenting Effective Online Learning](#)
- [Change Management: How Do You Tackle It?](#)

Business Continuity and Disaster Recovery/Risk Assessment and Mitigation

Records and information professionals evaluate potential risks to the creation and retention of records and information, suggesting methods to mitigate risks and to continue providing basic services during downtimes while also planning for the steps that are necessary to recover from natural, electronic, or human made disasters.

Existing Courses:
- [Disaster Planning](#)

Gaps:
Business continuity planning

Support Statement:
The SAA Records Management Section Steering Committee brought it to the attention of the SAA Committee on Education that "the Society of American Archivists has the opportunity to fill a void in the training of records managers." Many professionals trained as archivists now face the reality that they are often also responsible for records management programs. These archivists and records managers seek knowledge and training. These needs, whether for short-term skills or desire for in-depth coverage of their new responsibilities, are not yet met by existing SAA courses or by the records

management programs of other organizations. A new track in Records and Information Management (RIM) would broaden SAA's course offerings and meet the needs of archivists who also serve as records managers.

Impact on Strategic Priorities:
This new proposed records and information management education program aligns with two elements of the Strategic Plan 2023- 2025's Goal 2: enhancing professional growth. Goals 2.1 and 2.2 call on SAA to support the career development of members and provide content via education that reflects the latest thinking and best practices in the field. Due to the outreach conducted with other professional organizations, this program also affords an opportunity for partnership and collaboration as course priorities are established, which addresses Goal 3.3. Members have expressed an interest in developing their records management skills because they now face the reality that their duties include records management responsibilities; this certificate program would prepare members for work in the field. In addition, appraisal is an important element in writing retention schedules, so this course of study will include instruction about appraisal and how attention needs to be given not only to how records are used within an organization but also what secondary uses they could have for other communities; this aligns with Strategy 3.1 in SAA's Work Plan on Diversity, Equity, Inclusion, and Accessibility. Lastly, where records managers are often seemingly overlooked in the priorities of SAA, this program would address Goal 4.2 by providing these members more avenues in which to participate in the association.

Fiscal Impact:
This proposal affirms that Records and Information Management is an area of ongoing concern and commitment for SAA and its Education resources. While we recognize that the SAA staff manages competing priorities in its budget of funds and bandwidth, we believe SAA can reach new markets not being tapped with current educational offerings. This RIM education program could be attractive to corporate and government records managers as well as those in the academic arena that are juggling many job responsibilities. It would also afford SAA an opportunity to partner with other allied organizations; for example, the Institute of Certified Records Managers has expressed interest in a partnership whereby RIM certificate earners would also be able to earn a Certified Records Analyst designation by fulfilling the requirements of the RIM certificate program.

While some existing SAA courses are applicable to this new education program, new courses will need to be developed to provide adequate breadth to the program offerings. Currently, the SAA Education budget allots approximately $1,000 for course developers. The cost of offering each of these courses once or twice during the year is currently $600 per instance based on budgeted honoraria rates. There would be some SAA Education staff time that would need to be allocated to supporting these instructors, and the Committee on Education would need to identify subject matter experts who could serve as course liaisons and evaluate outside courses that could potentially be used for recertification purposes.

The work of creating and sustaining content for the track and maintaining a regular curriculum review structure will fall to the Committee on Education (serving as liaisons to course developers) and the SAA Education staff and budget. It should be noted that SAA Education budgets annually for the creation of new content for all its curriculum areas – DAS, A&D, RIM, Management, and DEIA – and responds to additional needs articulated in grant proposals funded by SAA Foundation, Mellon, and other entities.

Creating (new) or revising (legacy) content for three courses:
- Staff time – 20 hours minimum per webinar ("in kind")
- Honorarium for speakers – varies depending on length of program, individual or panel of speakers – estimated $1200 to $3000 per project
- Volunteer time – 10 hours per webinar for CoE member to act as liaison/subject matter expert.

Total Estimated Fiscal Impact
- 60 hours staff time
- $3600 to $9000 honoraria
- 30 hours of volunteer time

Projected revenue for a modest initial cohort of 20 participants would be between $129 and $179 for each of the 7 courses, totaling over $18,000 over their earning a certificate. However, based on the current popularity of online learning, we could likely anticipate a cohort of at least 30, which would generate income from $27,000 to $37,000, depending on whether participants are SAA members.

Appendix: Original Proposal from SAA Records Management Section

TO: SAA Education Committee

FROM: SAA Records Management Section Steering Committee
        saarecordsmanagement@gmail.com

RE: Proposal for SAA Records and Information Management Certificate Program

DATE: March 3, 2020

1. Rationale for SAA RIM Certificate Program

There are many records managers in our ranks whose career trajectories did not take a straight path to records and information management. Whether due to reductions in force or reorganizations or budgetary constraints, many professionals who are better trained on the archival side of things are finding themselves responsible for records management
programs. Some may be seeking knowledge that can aid them in the short-term, while others may develop an affinity for their new responsibilities, leading them to desire more in-depth training.

In all cases, the Society of American Archivists has the opportunity to fill a void in the training of records managers. The certificate program that the Records Management Section proposes will address three primary needs that are not currently being met by the records management programs of other organizations:
1. SAA can offer a program that is more applicable to academic and cultural heritage organizations than what's available from ARMA, AIIM, the Institute of Certified Records Managers (ICRM), and NAGARA.
2. By including a number of online training options, SAA can offer a program that is more affordable than those offered by ARMA, AIIM, and ICRM, thereby addressing diversity, equity, and inclusion for the profession.
3. Where other organizations offer a very prescribed curriculum, SAA can offer a variety of courses to meet the needs of all sorts of records managers at various stages of their careers.

Similar to SAA's Digital Archives Specialist and Arrangement and Description certificate programs, we're proposing a Records and Information Management (RIM) certificate program that has four tiers of study and can be renewed. We definitely want to help grow the library of courses offered through SAA, which will make this renewal process more sustainable, but we also want to propose a broadening of the activities that could count toward renewal – including case study publication, course development for SAA, RIM-relevant software development, leadership of a task force for the Records Management Section, and professional mentoring.

2. Existing RIM Training Programs

2 SAA courses
- [Records Management for Archivists](#)
  - 2-day in-person
  - Cost (early bird/regular registration) – looks like SAA decreased these fees for April 2020 offering ($249/$299/$349 with 20% discount for early bird)
    - individual member - 299.00/369.00
    - institutional member - 359.00/449.00
    - nonmember - 419.00/529.00
- [Records Management Introduction](#)
  - 90 minute webcast
  - Cost
    - individual member - 109.00
    - institutional member - 159.00
    - nonmember - 159.00
- Annual individual membership rates
  - $80 part-time
  - $105 for those earning $20k-$29k per year
  - $140 for those earning $30k-$39k per year
  - $174 for those earning $40k-$49k per year
  - $218 for those earning $50k-$59k per year
  - $250 for those earning $60k-$74k per year
  - $285 for those earning $75k-$89k per year
  - $325 for those earning more than $90k per year
  - $77 for retired persons

[ARMA Essentials of RIM Certificate](#)
- 10-course, webcast
- Cost
  - member - 1,299.00 (annual professional membership costs $175)
  - nonmember - 1,499.00
- one-time/non-renewable

Association for Intelligent Information Management (AIIM)
- designations are one-time/non-renewable
- [Modern Records Management Specialist](#)
  - Webcast
  - Online exam
  - Cost
    - member - 535.50 (annual membership costs $169)
    - nonmember - 595.00

- Modern Records Management Master
  - Webcast
  - Online exam
  - Cost
    - member - 1606.50 (annual membership costs $169)
    - nonmember - 1785.00

Institute of Certified Records Managers (ICRM)
- [Certified Records Manager](#)
  - 6-part (1-6)
  - Application fee: 100.00
  - Exam fees: 100.00 (parts 1-5), 175.00 (part 6)
  - Total cost (not including annual membership): 775.00
  - Annual membership: 200.00
- [Certified Records Analyst](#)
  - 3-part (2-4 exams)
  - Application fee: 100.00
  - Exam fees: 100.00 (parts 2-4)
  - Total cost (not including annual membership): 400.00
  - Annual membership: 200.00
- [Certification maintenance](#): 100 points for approved educational activity every 5 years (+ maintain ICRM annual membership)
  - Attend
  - Present
  - Publish
  - Other (e.g., program/educational content development, software program written/developed, exam grading, mentoring, book review)

National Association of Government Archives & Records Administrators (NAGARA) [Local Government Archives and Records Administration Certificate Program](#)
- $50 application fee
- 40 hours of qualified study within 5 years in 7 of 9 core competency areas – includes professional development offered by state archives, state records management centers, the offices of state attorneys general, state libraries, and professional archives and records management associations
- Annual membership: $89
- one-time/non-renewable

Council of State Archivists
- self-directed training modules rather than certificate program
  - [Introduction to Records and Information Management presentation](#)

- - Essential Records
  - Records Emergency Planning and Response

3. Resources for RIM Certificate Program

Experts:

Brad Houston, City Records Officer, Milwaukee (Wisconsin)

Eira Tansey, Digital Archivist and Records Manager, University of Cincinnati

Anne Marie Phillips, University Records Manager, Princeton University

Sarah Demb, University Records Manager, Harvard University

Courtney Bailey, Records Management Analyst, State Archives of North Carolina

Beth Cron, Senior Records Policy Analyst, National Archives and Records Administration

Greg Wiedeman, University Archivist, University of Albany (SUNY)

Chris Prom, Associate Dean for Digital Strategies, University of Illinois at Urbana-Champaign Library

Alexis Antracoli, Assistant University Archivist for Technical Services, Mudd Manuscript Library, Princeton University

Anne Gilliland, Scholarly Communications Officer, University of North

Carolina Elizabeth Carron, Accessioning Archivist, Boston College

Cal Lee, Professor, University of North Carolina School of Information and Library Science

Bill Saffady, RIM and IG consultant

Russell Wood, State Records Manager, Washington State Archives

Pari Swift, University Records Manager, Ohio State University

Time needed:

Our ability to estimate the time to get this certificate program off the ground is hampered by a lack of knowledge of how long deliberations by the Education Committee and Council might take. But we would hope to have it ready for launch at the 2021 annual meeting. With the exception of the transformational course, there are existing courses

that could fulfill the remaining requirements we've laid out for the program. And we feel like we could pull together the remaining proposed courses in relatively short order.

4. Proposed SAA RIM Certificate Program

<u>Core competencies</u>

1. Understand RIM issues and best practice
2. Communicate and define requirements, roles, and responsibilities related to records management to a variety of partners and audiences
3. Formulate tactics and strategies for the identification, appraisal, scheduling, management, and disposition of records
4. Integrate technologies, tools, and software within existing functions for the capture and preservation of digital and paper records
5. Provide dependable organization and service to designated communities across networks
6. Communicate RIM policies and procedures through in-person and virtual training

<u>Tiers of Study</u>

- Foundational Courses (2)
  - Records Management Introduction
  - Retention schedules (how to write/update them)
  - Managing active digital records
    - Basics of Managing Digital Records
  - Legal parameters of RM (regulations, discovery, etc.)
  - Carrying out disposition
- Tactical and Strategic Courses (2)
  - Negotiating/change management/involving stakeholders & records champions
    - Change Management: How Do You Tackle It?
  - Disaster planning and essential records
  - Making RIM part of HR onboarding/offboarding
  - Storage and carrying out paper/digital migrations
  - Records Management for Archivists
- Tools and Services Courses (2)
  - Selecting and maintaining Document Management Systems (DMS) and Electronic Records Management Systems (ERMS)
  - Pedagogy/how to conduct effective RIM training
    - Train the Trainer: Building a Successful Continuing Education Course (SAA considers this Foundational)
    - Designing and Presenting Effective Online Learning
  - Conducting/preparing for cybersecurity and mandated security scans
  - Managing digital communications
    - Email Archiving: Strategies, Tools, Techniques

- - Planning and carrying out a digitization initiative
- Transformational Courses (1)
  - Compliance with records retention and disposition schedules

Appendix: Evaluation of Existing SAA Courses through an RIM Lens

Current Courses

Records Management specific: The RIM working group suggests these courses be advertised as foundations for the RIM track program (although they may be unnecessary for candidates who have an academic or professional background that has already provided this overarching foundation).

- Records Management Introduction
    - Feedback: This is a 90 minute webinar that was released in 2014. At over a decade old, this needs to be updated and refreshed to include changes from the last 10 years. Two learning outcomes mention records management resources, which likely have changed since the webinar was released and should be a priority for updating. If nothing else is done with this certificate proposal, updating this course is the very least SAA could do.
- Records Management for Archivists
    - Feedback: This is listed as a 2-day (full day) in-person workshop and [to my understanding] has been/will be offered as a 2-day (half days) in-person workshop. It is currently the most comprehensive training that SAA offers for archivists who wish to learn more about records management.

Proposed courses to be included in certificate/track

- Basics of Managing Digital Records
    - Feedback: This is a 60-minute webinar that was released in 2017. It likely needs to be updated because of its age, and it would be great if there was a slide that mentioned how records management plays into digital records.
- Change Management: How Do You Tackle It?
    - Feedback: This is a 90-minute webinar that was released in 2011. While some content is probably still relevant and the learning outcomes are solid, it could benefit from a refresh.
- Train the Trainer: Building a Successful Continuing Education Course
    - Feedback: This is a 90-minute webinar that was released in 2011. While some content is probably still relevant and the learning outcomes are solid, it could benefit from a refresh.
- Designing and Presenting Effective Online Learning
    - Feedback: This is a 90-minute webinar that was released in 2016. While some content is probably still relevant and the learning outcomes are solid, it could benefit from a refresh.
- Email Archiving: Strategies, Tools, Techniques
    - Feedback: This is a 1-day in-person workshop that appears to be offered

fairly regularly. The learning outcomes fit well with proposed competencies for the RM program.