Society of American Archivists
Council Meeting
August 24, 2022
Boston, Massachusetts

Committee on Education: Proposal for a
Records and Information Management Certificate Program
(Prepared by: Jen Wachtel (Vice Chair), Courtney Bailey, and Sara Davis
with input from SAA Director of Education Rana Salzmann)

BACKGROUND

In 2019, SAA's Records Management Section began investigating the possibility of a new Records and Information Management 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 in order 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.

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

"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.

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.

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:

RIM 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

- o   Records Management for Archivists
- Tools and Services Courses (2)
  - o   Selecting and maintaining Document Management Systems (DMS) and Electronic Records Management Systems (ERMS)
  - o   Pedagogy/how to conduct effective RIM training
    - ▪   Train the Trainer: Building a Successful Continuing Education Course
    - ▪   Designing and Presenting Effective Online Learning
  - o   Conducting/preparing for cybersecurity and mandated security scans and other privacy issues
  - o   Managing digital communications
    - ▪   Email Archiving: Strategies, Tools, Techniques
  - o   Planning and carrying out a digitization initiative
- Transformational Courses (1)
  - o   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 5 years. We definitely want to help grow the library of courses offered through SAA, which will make this renewal process more sustainable if new courses are developed that were not available during the first cycle, 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.

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 certificate program aligns with two elements

of the Strategic Plan 2020- 2022'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 that latest thinking and best practices in the field. 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 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.

Fiscal Impact: SAA has the possibility of reaching new markets that are not being tapped with current educational offerings. This RIM certificate 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 certificate, at least 7 new courses will need to be developed to provide adequate breadth to the program offerings. Currently, SAA Education pays course developers $1,000. The cost of offering each of these courses once or twice during the year is currently $600 for the instructor honoraria. 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.

Projected revenue for a modest initial cohort of 20 participants would be between $129 and $179 for each of the 7 courses, totaling more than $18,000 over the course of their earning a certificate. However, based on the current popularity of online learning, we could probably anticipate a cohort of at least 30, which would generate income of anywhere from $27,000 to $37,000, depending on whether or not participants are SAA members.

TO: SAA Education Committee

FROM: SAA Records Management Section Steering Committee

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

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
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  - Planning and carrying out a digitization initiative
- Transformational Courses (1)
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