INSTRUCTOR'S GUIDE FOR IMPROVED RECORDS MANAGEMENT IN THE U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

On process
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Issued by M/AS/ISS
Revised Draft — August 7, 1995

USAID RECORDS MANAGEMENT INITIATIVE

INSTRUCTOR'S GUIDE FOR IMPROVED RECORDS MANAGEMENT IN THE U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

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First Draft - August 9, 1995

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- Learning Objectives
- Vocabulary
- Materials Needed

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- Audience
- Learning Objectives
- Vocabulary
- Materials Needed

- Unit 4 Develop an office filing system
- Unit 5 Label files completely, consistently
- Unit 6 Determine how long to retain office records
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Audience
Learning Objectives
Vocabulary
Materials Needed

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PURPOSE OF THE INSTRUCTOR'S GUIDE

"Having determined that training is, indeed, a good answer for the problem the organization wants to solve, we must now decide just what it is that we intend to teach people to do: not merely 'know', not to 'be aware of', not to 'have an increased appreciation for', but TO DO." (Training, *October 1993, p.75+)*

This booklet is designed to complement the *Action Guide for Improved Records Management in the U.S. Agency for International Development* (Revised Draft, August 7, 1995). While the *Action Guide* outlines USAID's records management program and guidelines in a narrative format, the *Instructor's Guide* identifies the learning objectives associated with each topic (what the learner needs to be able "to do"), and associated learning resources and activities which will help USAID staff put the guidelines into practice.

The term "instructor" is used here in the sense of a "facilitator". Since learning takes place within the individual, it is the job of the instructor or trainer to facilitate individual achievement of the stated learning objectives, not to perform, entertain or simply deliver information. In this sense, many different people may take the position of facilitator, for example, USAID Records Management staff, records management training contractors, any knowledgeable staff member given the task of overseeing the office Records Management program, or even a individuals engaged in facilitating their own learning through self-instruction. At the beginning of the *Instructor's Guide* is some background information and suggestions for individuals who are not experienced in records management training, or in working as facilitators.

The training suggestions presented in this *Instructor's Guide* center on the Instructor's Matrix of Topics and Materials. This matrix presents all topics covered in the *Action Guide* and links them to the corresponding material in the *Student Workbook* and in the *Electronic Presentation*. Additional discussion points, group activities, individual activities, and evaluation are suggested for each of the 10 Action Units.

The appendix to this guide includes a copy of all of the slides in the electronic presentation, with space provided for speaker's notes.

PERSPECTIVES ON LEARNING

Learning Channels/Learning Styles

Individuals learn in a variety of ways, and through a various channels, for example, by seeing, by hearing, by discussing, by doing.

Although every individual has a preferred learning style -- i.e., a way in which s/he is able to learn the best -- everyone draws to some extent upon all learning channels.

In order to include all learning channels, one sequence that is often used to facilitate learning is the following:

See it
Hear it
Say it (repeat/explain)
Do it
Say it (discuss)
Read about it
Write about it

The more learning channels that are involved *simultaneously*, the greater the chance that learning will be retained -- that is, that individuals will remember what they learned for a longer period of time.

Multimedia materials, or materials which enable the learner to simultaneously see and hear the material, produce the greater retention than those which draw upon one channel only.

Individuals tend to teach in the style by which they most easily learn. In other words, if you as the instructor absorb and retain material best by seeing it, you will prefer to teach using visually rich material. It is helpful to be aware of your own preferred style, however, so that you offer sufficient alternative ways of learning to meet the needs of all learners in a group.

The materials in this training kit support all learning styles.

Accelerated Learning

Learning does not have to take place in rows or behind desks. Learning often takes place faster, in fact, in a very relaxed and often playful atmosphere.

For example, the following environment has been found to increase or accelerate learning:

- An informal seating arrangement
- Background music before and after sessions, or while working on a task, specifically very relaxing or upbeat music
- Quotes or pictures posted around the walls
- Plants or greenery

There are a variety of other techniques which can also be implemented if the facilitator is comfortable with them. A number of suggested sources on these techniques are cited at the end of this guide.

SUGGESTED SEQUENCE FOR GROUPS

Regardless of whether the entire body of material is covered in a workshop, or individual topics are covered over a period of time, the following sequence is suggested.

Preparation:

1. Assess background and expectations of learners prior to training
2. Adjust focus/content to the group
3. Secure needed resources, and required copies of *Guide* and *Workbook*

Group Session:

4. Tell group what they will learn in all sessions/this session
5. Present appropriate portion of electronic slides
6. Discuss presentation and respond to questions
7. Engage individuals in learning activity
8. Discuss the activity
9. Assign reading

Following Session:

10. Review previous session and reading
11. Reinforce with final evaluation activity

SUGGESTED SEQUENCE FOR ONE-ON-ONE TRAINING

For one-on-one sessions, it is especially important to assess exactly what the individual needs to know, or what problem they are trying to solve. The sequence presented above may still be useful, but can be tailored to specific topics. Individuals who already know the material may need more advanced training. The National Archives and Records Administration offers such classes.

SUGGESTED SEQUENCE FOR SELF-INSTRUCTION

Individuals using this kit for self-instruction are free to work at their own pace on specific topics of interest:

1. Start by reviewing the electronic presentation (all or part).
2. Reinforce the presentation by reading the corresponding section of the *Action Guide*.
3. Use the *Student Workbook* to reinforce main points. Complete exercises.
3. Check under the Action Units below for suggested additional individual activities.

10 ACTIONS EVERY OFFICE SHOULD TAKE TO IMPROVE RECORDS MANAGEMENT

- 1 - Raise staff awareness of the basic purpose, benefits, and concepts of records management.

- 2 - Assume individual and collective responsibilities related of office records.

- 3 - Get to know your Records Management client analyst.

- 4 - Review and revise the office filing system.

- 5 - Label official files completely and consistently.

- 6 - Determine how long to retain office files.

- 7 - Complete an office file plan. Make it accessible to office staff.

- 8 - Maintain files for use.

- 9 - Move eligible records out of the office annually.

- 10 - Review the office records management program annually.

Instructor's Matrix of Topics and Materials

Part	Action	Topic	Title	Guide	Workbook	HB Sect	Slides	Other Resources
1			***Overview of the Program in USAID***		2			
1	1		**Raise staff awareness ...**	3				
1	1	1	Purpose of RM Program	3	3, 16			
1	1	2	What RM Means to You	3-4	16			
1	1	3	What Exactly Is a Record?	4-6	16			Samples of record formats and nonrecord materials
1	1	3.1	Definitions	4	4-7			
1	1	3.2	How to Identify Records	5	4-7, 17			
1	1	3.3	Official Files	5	8-9			
1	1	3.4	Nonrecord Materials	6	10-11, 17			
1	1	3.5	Personal Papers	6	12			
1	2		**Assume responsibilities.**	7				
1	2	1	Office-Based Management of Records	7	18			
1	2	2	What Are Your Responsibilities?	7-9	13-14			
1	2	2.1	All Staff	8	13			
1	2	2.2	Professional Staff	8	13			
1	2	2.3	Heads of Bureaus...	8	13			
1	2	2.4	Records Liaison Officers	8-9	13			
1	2	2.5	File Custodians	9	14			
1	2	3	The Importance of Networking	9-10				
1	3		**Get to Know Your RM Client Analyst**	10				
1	3	1	Need Help?	10-11	15			Current list of client analysts
2			***Organizing Official Files***		20			
2	4		**Develop an Office Filing System**	14				
2	4	1	Purpose of a Filing System	14	21-22			Sample blank 520-2 and completed file plan
2	4	2	File Content and Organization	14-15	28-33			HB17 + USAID org chart + office org chart + sample inventory
2	4	3	Records Management Filing Concepts	15-18				
2	4	3.1	File Types	15-16	23-27, 44			
2	4	3.2	Series	16-17				
2	4	3.3	Folders	17-18				
2	4	4	Identifying and Organizing Case Files	18-20	34-37			Sample case files
2	4	4.1	Project Case Files	19	38-40			
2	4	4.2	Other Case Files	19-20	35-37			
2	4	5	Identifying and Organizing Subject Files	20-22	41-43			Sample subject files
2	4	5.1	Subject File Codes	21	41-43			
2	4	5.2	Administrative Subject Files	21-22	41-43			
2	4	5.3	Program Subject Files	22	41-43			
2	4	6	Handling Nonrecord Materials	23	27			Sample chron file
2	4	7	Physically Arranging Files	23-24	56			

Instructor's Matrix of Topics and Materials

Part	Action	Topic	Title	Guide	Workbook	HB Sect	Slides	Other Resources
2	5		**Label Files Completely, Consistently**	24				
2	5	1	Labeling Official Files	24-26				Sample labels + PC + WP 5 1 + sample macro + laser labels
2	5	1.1	Project Case File Labels	24-25	45-47			
2	5	1.2	Other Case File Labels	25	48-51			
2	5	1.3	Subject File Labels	25-26	52-55			
2	5	1.4	Drawer and Guide Labels	26				Blank and sample drawer labels. Blank and sample guide cards
2	6		**Determine How Long to Retain Office Records**	26				
2	6	1	Using the USAID Records Disposition Schedule	26-27	57			USAID Records Disposition Schedule (all sections)
2	6	1.1	Records not in the Schedule	27	57			Sample 115
2	7		**Complete the Office File Plan**	27				
2	7	1	Preparing the Office File Plan	27	57			Blank 520-2 + PC + WP5.1 + macro + HB21/2 + sample plan
2	7	1.1	Formatting the Plan	27				
2	7	1.2	Making the Plan Accessible	28				
2	7	1.3	Updating the File Plan	28				
3			***File Maintenance and Disposition***					
3	8		**Maintain Files for Use**	31				Sample file
3	8	1	Creating Procedures for Maintenance and Use of Files	31	60-61			
3	8	2	Charging Out Files	31-32	62			Forms: OF-23 + AID 5-103 + AID 5-68. Sample file + blank folder
3	8	3	Adding Records to the File	32-33	63-64			Sample records to be filed
3	8	3.1	Does It Need to Be Filed?	32	65			
3	8	3.2	Is It Ready to Be Filed?	33	65			
3	8	3.3	Where Should It Be Filed?	33	66			
3	8	4	Adding a New File Category	34	67			
3	8	5	Filing Tips	34	68			
3	9		**Move Eligible Files Out of the Office Annually**	35				
3	9	1	Cutting off Files	35-36	69			Form: OF-22
3	9	2	Determining Disposition	36	70-71, 73			Field trip to WNRC and/or relevant NARA video
3	9	3	Storing Inactive Files Onsite	37	74			Current vault policy
3	9	4	Destroying Authorized Files	37				HB6
3	9	5	Preparing Eligible Files for Retirement	37-39	75-78			Form: AID 5-45, SF-135A (blank and complete). WNRC box
3	9	5.1	Steps in Retirement	38-39	75-78			
3	10		**Annually Review Office RM Program**	40				
3	10	1	Evaluating the Office Program					
3	10	2	Calendar of Responsibilities	40	79			Sample calendar
3	10	3	Supplies and Forms to Keep on Hand	41	80-81			Sample supplies and forms

PART I OVERVIEW OF THE RECORDS MANAGEMENT PROGRAM IN USAID

Target Audience

Part I is intended for all USAID staff. Records management training for managers and professional staff is likely to be limited to Part I, and possibly only to a briefing at utilizing the *Action Guide: Overview* and electronic presentation. For others, Part I provides background information which the remaining modules build on.

Learning Objectives for Part I:

To be able to explain to a coworker why the Agency needs a records management program.

To distinguish between records and nonrecord materials in your office.

To identify the location of official files in your office

To understand the responsibilities of the file custodian in your office.

To identify each office's (and each staff member's) responsibilities in records management.

To know how and where to get help (who to contact).

Vocabulary Introduced

Record
- Temporary records
- Permanent records

Official file
Nonrecord material
Personal papers
Records Liaison Officer (RLO)
File Custodian

Materials/Resources Needed

Action Guide
Student Workbook
Electronic Presentation
IBM compatible 386 or 486 PC with Windows 3.0
    VGA monitor
    3 1/2" floppy disk drive
    CD-ROM reader
Handbook 21, Part II, paper copy
DR-CD
Flip chart and markers
Samples of record formats and nonrecord materials
Current list of RM Client-Analysts

ACTION UNIT 1 RAISE STAFF AWARENESS

Discussion points

Group activities

Individual activities

Evaluation

Action Guide for

Improved Records Management in USAID

Issued by M/AS/ISS

August 10, 1995

This is where you type or jot down speaker's notes. For example:

Specific points you want to make

Examples

Alternative ways of handling the topic

Overview

The Status of Records Management in USAID

Inventories find ...

- Mixed files
- Inconsistent labeling
- Eligible files not retired

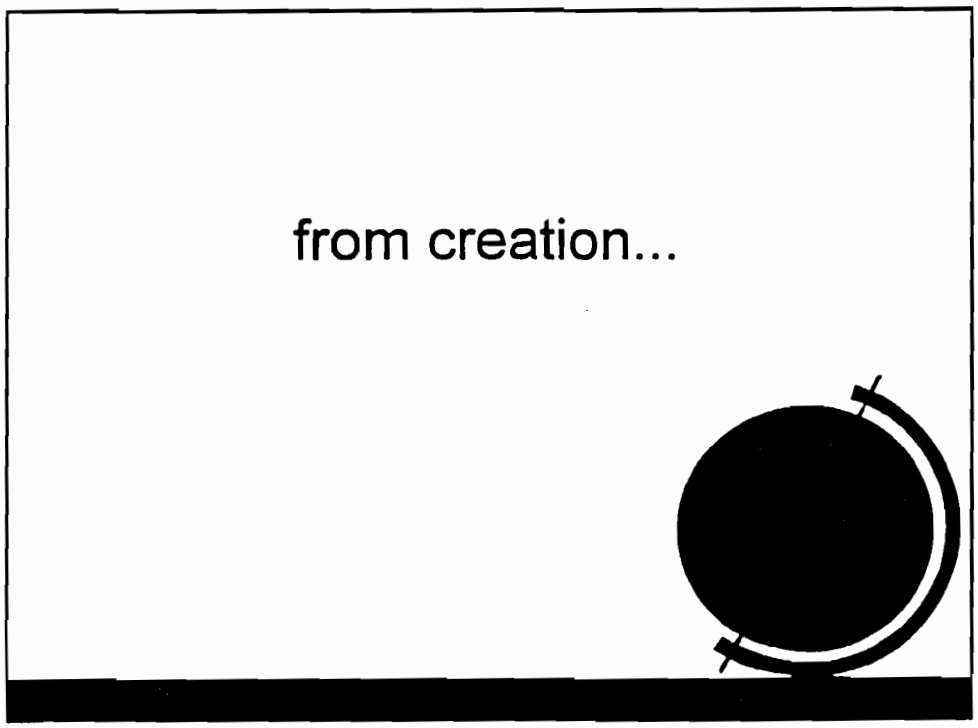
Why?

- Multiple reorganizations
- Loss of support staff
- Electronic documents
- "Democratization" of files

Objectives of this Presentation

- Awareness
- Education
- *Action*

Records management controls materials which document the work of USAID offices...


from creation...

through maintenance and use...

to final disposition

So that...

- You can find the information you need
- and the Agency has an official record of business for legal archival purposes