



## PART 6

### *Records Management Roadmap* Outputs

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Every milestone in every destination requires your organization to plan an action, execute that action, and document the results. For instance, **Destination 2, Milestone 1** recommends that your organization has **strategic plan** for records management. To accomplish the milestone of developing and implementing a strategic plan, you will end up completing many different steps, including:


1. conducting background research
2. establishing a team
3. soliciting staff input
4. developing a project framework
5. obtaining senior management support
6. researching and developing an environmental scan
7. drafting a strategic plan
8. reviewing draft environmental scans and strategic plans
9. finalizing the environmental scan and strategic plan
10. obtaining official support for implementation
11. launching and implementing the plan
12. providing training and guidance to support implementation
13. documenting progress with implementation
14. sharing experiences and lessons learned
15. preparing for another strategic planning cycle


Of course, when you succeed in implementing a strategic plan, and your organization reaches the *Proactive* level of progress for that milestone, your work is not done. You will need to start the planning cycle again, to prepare an updated strategic plan that ensures your organization's records management program remains successful and effective, especially if roles, functions, or technologies change.


Each milestone on the records management journey involves many steps, and each step can result in many outputs. Many outputs will be common across milestones. Every project requires a project plan, for instance, and staff always need guidance materials. Senior managers need to see reports on progress. Rather than list all the different types of outputs you might end up creating for each milestone, we have identified only those **core outputs** (documentary products) that you should create or collect to help your organization succeed with that particular milestone. But we recognize that common outputs exist for all milestones, including, as examples: project plans, lists of team members, project time frames and deadlines, training and guidance materials, drafts and final versions of plans or reports, staff feedback, senior management endorsements, and more.


Remember to keep core documentary products for as long as needed. They are important components of your records management program. Also remember to keep copies of any electronic records or digital content that you add to your organization's website to support records management activities; these electronic records are evidence too.


**CORE OUTPUTS**


 <b>DESTINATION 1: OUR ORGANIZATION RECOGNIZES THE VALUE OF MANAGING RECORDS EFFECTIVELY</b>	
<b>Milestone</b>	<b>Core Outputs</b>
<b>Milestone 1</b> Our organization is <b>aware of the value</b> of records management for organizational success	<ul style="list-style-type: none"> <li>➤ Awareness raising and orientation materials (brochures and leaflets)</li> <li>➤ Presentation materials (such as PowerPoint slides or handouts)</li> <li>➤ Briefing notes and background materials (including “elevator speeches”)</li> </ul>
<b>Milestone 2</b> <b>Senior managers actively support</b> records management	<ul style="list-style-type: none"> <li>➤ Business case</li> <li>➤ Presentation materials</li> <li>➤ Briefing notes and background materials</li> </ul>
<b>Milestone 3</b> Our organization links records management with <b>legal, regulatory, and policy requirements</b>	<ul style="list-style-type: none"> <li>➤ List of all laws, regulations, and policies that include record-making or record-keeping obligations, explicit or implicit</li> <li>➤ List of all laws, regulations, and policies that use the terms “records,” “information,” “data,” “archives,” and other record-making and record-keeping concepts</li> <li>➤ List of records that should be created and kept, to comply with legal, regulatory, and policy requirements</li> <li>➤ Awareness raising and orientation materials</li> <li>➤ Presentation materials</li> </ul>
<b>Milestone 4</b> Our organization works with <b>allied agencies</b> to support a coordinated approach to records management	<ul style="list-style-type: none"> <li>➤ Communications with allied agencies</li> <li>➤ Project proposals and plans</li> <li>➤ Formal agreements or informal memoranda of understanding to support cooperation or collaboration</li> <li>➤ Awareness raising and orientation materials</li> <li>➤ Presentation materials</li> </ul> <p><b>NOTE:</b> if your organization needs to provide the services itself, you will need to develop strategic and project plans, policies and procedures, awareness and orientation materials, presentation materials, and other core outputs.</p>

 <b>DESTINATION 2: OUR ORGANIZATION'S RECORDS MANAGEMENT PROGRAM IS MANAGED STRATEGICALLY</b>	
<b>Milestone</b>	<b>Core Outputs</b>
<b>Milestone 1</b> Our organization has a <b>strategic plan</b> for records management	<ul style="list-style-type: none"> <li>➤ Environmental scan or assessment of current conditions</li> <li>➤ Draft and final strategic plans</li> <li>➤ Project planning documents and progress reports</li> <li>➤ Awareness raising and orientation materials</li> </ul>
<b>Milestone 2</b> Our organization follows formal records management <b>policies and procedures</b>	<ul style="list-style-type: none"> <li>➤ List of key standards adopted, with rationale</li> <li>➤ List of ideal and actual policies and procedures developed</li> <li>➤ Records management policy instruments</li> <li>➤ Records management procedures</li> <li>➤ Guidelines for implementation and maintenance of policies and procedures and adoption of standards</li> <li>➤ Awareness raising, orientation, and training materials</li> <li>➤ Project planning documents and progress reports</li> </ul>
<b>Milestone 3</b> Our organization <b>confirms</b> records management <b>responsibilities</b> of all staff	<ul style="list-style-type: none"> <li>➤ Summary of staff responsibilities and tasks for records management</li> <li>➤ Revised job descriptions incorporating records management duties</li> <li>➤ Awareness raising, orientation, and training materials to help staff execute new or different records management responsibilities</li> <li>➤ Reports on staff compliance and challenges or issues with new and different records management responsibilities</li> </ul>
<b>Milestone 4</b> Our organization <b>monitors and audits</b> records management programs and services	<ul style="list-style-type: none"> <li>➤ Policies, procedures, and guidance materials to define the nature and scope of monitoring or audit activities</li> <li>➤ Monitoring and auditing reports (these reports will relate to most if not all milestones identified and so are not repeated separately)</li> <li>➤ Project planning documents and progress reports</li> </ul>


 <b>DESTINATION 3: OUR ORGANIZATION COMMITS SUFFICIENT RESOURCES TO SUPPORT RECORDS MANAGEMENT</b>	
<b>Milestone</b>	<b>Core Outputs</b>
<b>Milestone 1</b> Our organization commits <b>adequate financial resources</b> for records management	<ul style="list-style-type: none"> <li>➤ Financial analysis of RM requirements (to add to business case and strategic plan)</li> <li>➤ Documentation of financial expenditures</li> <li>➤ Financial tracking and monitoring records to support budgeting</li> <li>➤ Awareness raising, orientation, and training materials (to support continued provision of adequate financial resources)</li> </ul>
<b>Milestone 2</b> Our organization provides a secure <b>physical infrastructure</b> and acquires appropriate <b>equipment/technology</b> for records	<ul style="list-style-type: none"> <li>➤ Inventory of equipment, technology, and the physical/electronic location of records and evidence (the inventory is recommended in <b>Destination 5, Milestone 2</b>)</li> <li>➤ List of priority issues for changes in physical infrastructures, equipment, and technology, to incorporate into environmental assessments and strategic plans and to maintain as an ongoing resource</li> <li>➤ Awareness raising and orientation materials</li> </ul>
<b>Milestone 3</b> Our organization <b>engages qualified professionals</b> to perform records management duties	<ul style="list-style-type: none"> <li>➤ Analysis of staffing requirements to support records management for the organization</li> <li>➤ New or revised job descriptions for qualified professional records management staff (and revised job descriptions for other staff to recognize daily records management responsibilities)</li> <li>➤ Awareness raising, orientation, and training materials to gain staff support across the organization for the role and responsibilities of qualified professional records management staff</li> </ul>


 <b>DESTINATION 4: OUR ORGANIZATION RECOGNIZES THE LINK BETWEEN RECORDS AND INFORMATION TECHNOLOGY</b>	
<b>Milestone</b>	<b>Core Outputs</b>
<b>Milestone 1</b> Our organization <b>manages all records and evidence</b> effectively, regardless of form or medium	<ul style="list-style-type: none"> <li>➤ Inventory of records and archives (the inventory is recommended in <b>Destination 5, Milestone 2</b>)</li> <li>➤ Business case for changes to records management systems and structures</li> <li>➤ Briefing notes and background materials</li> <li>➤ Strategic and project plans</li> <li>➤ Project and progress reports</li> <li>➤ Awareness raising and orientation materials</li> <li>➤ Presentation materials</li> </ul>
<b>Milestone 2</b> Our organization <b>selects information technologies</b> strategically to support records management	<ul style="list-style-type: none"> <li>➤ Inventories of equipment and technology</li> <li>➤ Strategic and project plans</li> <li>➤ Project and progress reports</li> <li>➤ Awareness raising and orientation materials</li> <li>➤ Presentation materials</li> </ul>
<b>Milestone 3</b> Our organization <b>collaborates</b> with information technology providers to protect records and evidence	<ul style="list-style-type: none"> <li>➤ Communications with information technology providers</li> <li>➤ Project proposals and plans</li> <li>➤ Formal agreements or informal memoranda of understanding to support cooperation or collaboration</li> <li>➤ Awareness raising and orientation materials</li> </ul> <p><b>NOTE:</b> if your organization needs to provide the services in question itself, you will need to develop strategic and project plans, policies and procedures, awareness and orientation materials, presentation materials, and other core outputs.</p>

 <b>DESTINATION 5: OUR ORGANIZATION MANAGES RECORDS EFFECTIVELY AND ACCOUNTABLY</b>	
<b>Milestone</b>	<b>Core Outputs</b>
<b>Milestone 1</b> Our organization <b>makes records</b> when they are needed	<ul style="list-style-type: none"> <li>➤ List of existing and potential requirements for documentation</li> <li>➤ List of records and documentation to be created and/or captured to comply with actual or anticipated duty to document requirements</li> <li>➤ Project planning documents and progress reports</li> <li>➤ Policies and procedures to support duty to document requirements</li> <li>➤ Awareness raising, orientation, and training materials</li> </ul>
<b>Milestone 2</b> Our organization <b>identifies and organizes records</b> logically	<ul style="list-style-type: none"> <li>➤ Inventory of records and archives (a critical source of information and a priority for action)</li> <li>➤ Project planning documents and progress reports</li> <li>➤ Classification schemes for all organizational records</li> <li>➤ Policies and procedures to support implementation of schemes</li> <li>➤ Awareness raising, orientation, and training materials</li> </ul>
<b>Milestone 3</b> Our organization <b>describes</b> records and evidence consistently	<ul style="list-style-type: none"> <li>➤ List of required and optional metadata elements (also incorporated into records management systems)</li> <li>➤ Project planning documents and progress reports</li> <li>➤ Policies and procedures to support metadata management</li> <li>➤ Awareness raising, orientation, and training materials</li> </ul>
<b>Milestone 4</b> Our organization <b>assigns responsibility</b> for records	<ul style="list-style-type: none"> <li>➤ List of Offices of Primary Responsibility/Official Record Holders and designated backups (this information could also be incorporated into classification schemes)</li> <li>➤ Project planning documents and progress reports</li> <li>➤ Policies and procedures to support Offices of Primary Responsibility/Official Record Holders duties</li> <li>➤ Awareness raising, orientation, and training materials</li> </ul>
<b>Milestone 5</b> Our organization <b>supports staff</b> to manage records and evidence effectively	<ul style="list-style-type: none"> <li>➤ Project planning documents and progress reports</li> <li>➤ Briefing notes and background materials</li> <li>➤ Awareness raising, orientation, and training materials (note overlap with training resources needed to support other milestones)</li> </ul>

 <b>DESTINATION 6: OUR ORGANIZATION PROVIDES APPROPRIATE ACCESS TO RECORDS</b>	
<i>Milestone</i>	<i>Core Outputs</i>
<b>Milestone 1</b> Our organization <b>proactively releases records</b> to the public	<ul style="list-style-type: none"> <li>➤ Identification of records and archives that may be released publicly (the inventory is recommended in <b>Destination 5, Milestone 2</b>)</li> <li>➤ Project planning documents and progress reports</li> <li>➤ Identification of records to be made available proactively (normally incorporated into classification schemes and identified in procedures and guidance associated with proactive disclosure)</li> <li>➤ Policies and procedures to support proactive disclosure</li> <li>➤ Awareness raising, orientation, and training materials</li> </ul>
<b>Milestone 2</b> Our organization <b>protects private and personal information</b>	<ul style="list-style-type: none"> <li>➤ Identification of private or personal information in records and archives (the inventory is recommended in <b>Destination 5, Milestone 2</b>)</li> <li>➤ Project planning documents and progress reports</li> <li>➤ Identification of records with private or personal information (normally incorporated into classification schemes)</li> <li>➤ Policies and procedures to support protection of privacy</li> <li>➤ Awareness raising, orientation, and training materials</li> </ul>
<b>Milestone 3</b> Our organization <b>protects sensitive or secret information</b>	<ul style="list-style-type: none"> <li>➤ Identification of sensitive or secret information in records and archives. (Note that the inventory recommended as part of <b>Destination 5, Milestone 2</b>, is a critical source of information.)</li> <li>➤ Project planning documents and progress reports</li> <li>➤ Identification of records with sensitive or secret information (normally incorporated into classification schemes)</li> <li>➤ Policies and procedures to support protection of sensitive or secret information</li> <li>➤ Awareness raising, orientation, and training materials</li> </ul>



 <b>DESTINATION 7: OUR ORGANIZATION STORES RECORDS APPROPRIATELY AND DISPOSES OF THEM REGULARLY</b>	
<i>Milestone</i>	<i>Core Outputs</i>
<b>Milestone 1</b> Our organization <b>stores records and evidence appropriately</b> , regardless of form or medium	<ul style="list-style-type: none"> <li>➤ Identification of the current location of records and evidence (the inventory is recommended in <b>Destination 5, Milestone 2</b>)</li> <li>➤ Strategic plan for storage management and systems</li> <li>➤ Project planning documents and progress reports</li> <li>➤ Policies and procedures to support records storage</li> <li>➤ Identification and tracking information to locate records and evidence</li> <li>➤ Monitoring reports on use of storage and issues or risks arising</li> <li>➤ Awareness raising, orientation, and training materials</li> </ul>
<b>Milestone 2</b> Our organization protects records and evidence in an <b>emergency</b>	<ul style="list-style-type: none"> <li>➤ Identification of the location of all records and evidence, to support the identification of vital and high-risk records (the inventory is recommended in <b>Destination 5, Milestone 2</b>)</li> <li>➤ Strategic plan for emergency planning</li> <li>➤ Project planning documents and progress reports</li> <li>➤ List of vital records and evidence, with identification and tracking information to locate vital records in an emergency</li> <li>➤ Vital records management plan</li> <li>➤ Emergency response plan</li> <li>➤ Emergency planning test results and reports</li> <li>➤ Policies and procedures to support vital records management and emergency planning and response</li> <li>➤ Monitoring reports on environmental risks or hazards, to support mitigation and reduce the risk of emergencies</li> <li>➤ Awareness raising, orientation, and training</li> </ul>
<b>Milestone 3</b> Our organization <b>retains records</b> for as long as needed and <b>disposes</b> of records appropriately	<ul style="list-style-type: none"> <li>➤ Identification of all records and evidence (the inventory is recommended in <b>Destination 5, Milestone 2</b>)</li> <li>➤ Project planning documents and progress reports</li> <li>➤ Retention schedules for all organizational records</li> <li>➤ Completed and approved disposal authorities</li> <li>➤ Policies and procedures to support implementation of schedules and authorities</li> <li>➤ Awareness raising, orientation, and training materials</li> </ul>

 <b>DESTINATION 7: OUR ORGANIZATION STORES RECORDS APPROPRIATELY AND DISPOSES OF THEM REGULARLY (continued)</b>	
<b>Milestone</b>	<b>Core Outputs</b>
<b>Milestone 4</b> Our organization <b>destroys records</b> securely, regardless of form or medium	<ul style="list-style-type: none"> <li>➤ Project planning documents and progress reports</li> <li>➤ Completed and approved destruction decisions</li> <li>➤ Lists of destroyed records</li> <li>➤ Policies and procedures to support implementation of destruction processes, including confirmation of authorized methods of destruction</li> <li>➤ Awareness raising, orientation, and training materials</li> </ul>
<b>Milestone 5</b> Our organization <b>preserves</b> records and evidence with archival value, so they are <b>available</b> for public use	<ul style="list-style-type: none"> <li>➤ Project planning documents and progress reports</li> <li>➤ Completed and approved preservation and transfer decisions</li> <li>➤ Lists of records to be preserved and/or transferred (normally incorporated into classification schemes)</li> <li>➤ Policies and procedures to support implementation of preservation and/or transfer processes</li> <li>➤ Awareness raising, orientation, and training materials</li> </ul> <p><b>NOTE:</b> if your organization needs to provide the services itself, you will need to develop strategic and project plans, policies and procedures, awareness and orientation materials, presentation materials, and other core outputs.</p>