

#### Introduction:

Effective handling of physical business records is vital for ensuring seamless operations, meeting regulatory requirements, and controlling costs. This training program on inventory and appraisal techniques equips participants with systematic methods for cataloging, evaluating, and managing paper-based records throughout their entire lifecycle. Participants will learn to conduct thorough inventories, apply consistent appraisal criteria, and make informed decisions about which documents to retain or dispose of—all while minimizing risk and enhancing compliance.

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#### Intended Audience:

This course is designed for professionals responsible for the management and preservation of physical records, including:

- Records managers overseeing paper archives
  - Archivists caring for historical collections
  - Administrative officers in charge of filing systems
  - Compliance officers enforcing retention policies
  - Office managers coordinating document storage
  - Legal support staff conducting audits and searches
  - Risk management teams concerned with record integrity
  - Information governance specialists in public and private sectors
  - Internal auditors reviewing document control procedures
  - Staff transitioning from paper-based to hybrid record environments
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#### Learning Objectives:

By the end of this program, participants will be able to:

- Grasp the foundational principles of conducting a physical records inventory
- Distinguish between different categories and formats of business records
- Employ structured appraisal methodologies to assess document value
- Classify records according to legal, operational, and historical criteria
- Accurately estimate the importance and cost implications of records retention
- Implement approved procedures for the secure disposal of documents

- Design inventory systems that shorten document retrieval times
  - Calculate lifecycle costs and benefits associated with physical filings
  - Identify vital, non-essential, and archival records
  - Develop clear schedules for record control to support access and compliance
  - Align physical records management with industry best practices
  - Communicate appraisal decisions effectively to stakeholders
  - Maintain complete audit trails documenting retention and destruction actions
  - Integrate risk-mitigation strategies into every stage of physical record handling
  - Prepare documentation that demonstrates compliance to regulators
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#### Key Competencies Developed:

Participants will gain proficiency in:

- Creating and maintaining detailed records inventories
  - Evaluating records consistently using formal appraisal frameworks
  - Aligning record classifications with legally mandated retention schedules
  - Identifying documents approved for destruction and managing disposal processes
  - Understanding legal and regulatory documentation standards
  - Accurately valuing records for operational use or long-term preservation
  - Planning and managing efficient physical storage solutions
  - Making strategic decisions about record lifecycles
  - Handling confidential and sensitive materials with care
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#### Course Modules:

##### Module 1: Fundamentals of Physical Records Inventory

- Distinguishing paper records from digital records
- Defining the objectives and benefits of an accurate inventory system
- Cataloging formats, media types, and storage locations
- Designing inventory templates with essential classification fields
- Employing tools and techniques for on-site inventory audits
- Establishing data-quality controls and indexing for quick retrieval

- Handling duplicate files and legacy document challenges

## Module 2: Appraisal Methodologies and Frameworks

- Defining appraisal in the context of records management
- Identifying operational, legal, fiscal, and historical appraisal criteria
- Applying uniform appraisal tools to different record types
- Assigning priority levels based on business value and risk
- Documenting appraisal outcomes for audit purposes
- Engaging stakeholders in appraisal decision making

## Module 3: Retention Schedules and Compliance Management

- Understanding the structure and components of retention policies
- Classifying records by department, function, and retention period
- Ensuring alignment with organizational and legal requirements
- Monitoring legislative changes that affect retention rules
- Applying "legal hold" procedures during litigation or inquiry
- Auditing existing practices and updating retention schedules
- Embedding retention controls into daily workflows
- Training staff on retention requirements and compliance

## Module 4: Disposal and Destruction of Physical Records

- Identifying when records reach end-of-life for disposal
- Selecting destruction methods appropriate to document sensitivity
- Keeping accurate records of disposal activities
- Securing management approvals for destruction in regulated industries
- Partnering with certified vendors for off-site shredding or pulping
- Reducing costs through integrated disposal planning
- Issuing certificates of destruction to demonstrate compliance

## Module 5: Records Lifecycle Management and Optimization

- Mapping the full lifecycle stages of physical records
- Integrating inventory and appraisal findings into lifecycle planning
- Tracking the progression of records from active use to archival storage
- Implementing best practices for off-site storage management

- Streamlining retrieval, re-filing, and disposal procedures
  - Reducing on-site storage through accurate lifecycle forecasting
  - Scheduling regular appraisal and inventory reviews
  - Automating key processes where feasible
  - Fostering a culture of responsible recordkeeping across the organization
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#### Final Insights & Key Takeaways:

Mastering inventory and appraisal methods is essential for any organization seeking to manage its paper records in a structured, compliant, and cost-effective way. Participants will leave this course with actionable frameworks for assessing record value, enforcing retention and disposal policies, and optimizing their physical records infrastructure—ensuring robust governance and minimized risk throughout the records lifecycle.