

## **INF 389E: Introduction to Records Management**

**Fall 2017**

**Unique Number: 28395**

### **INSTRUCTOR**

Professor: Ciaran B. Trace

Email: [cbtrace@austin.utexas.edu](mailto:cbtrace@austin.utexas.edu)

Phone: 512-232-3508

Office: 5.412

Office Hours: Wednesday, noon to 3pm and by appointment

### **COURSE MEETING TIMES**

Tuesday, 9am to noon, 1.504

### **COURSE DESCRIPTION AND OBJECTIVES**

Records Management is the “field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records...” (ISO 15489-1:2001, clause 3.16). This course will provide an introduction to the principles and practices involved in managing records (both paper and electronic) in private and public sector organizations.

By the end of the course students will be able to:

- Understand national and international policies and trends that impact the records management profession
- Understand and analyze the impact (practical, economic, and social) that records management and information governance have in organizational environments and government settings
- Understand the history of the profession and identify traditional and emerging roles and responsibilities of the records manager, and articulate the similarities and differences between a records manager and other information professionals (such as archivists, librarians, digital curators)
- Understand and analyze the practical, legal, and ethical issues involved in implementing a records management program across the records lifecycle
- Understand and articulate policies and procedures for managing active and inactive records (in paper and in electronic form) and gain firsthand experience of designing an effective electronic record keeping system
- Gain familiarity with the concepts, tools, processes, and national and international standards that enable records managers to carry out their job in a competent and

comprehensive manner.

## **COURSE REQUIREMENTS**

### *Class Lectures/Discussion*

Students are expected to complete all course requirements and readings, meet stated deadlines, and attend all scheduled classes. Students are expected to be knowledgeable about the topic being discussed based on readings and to participate in discussion.

## **ASSIGNMENTS**

### **1. *DIRKS Record Keeping Report***

The DIRKS (Designing and Implementing Recordkeeping Systems) methodology is an 8-step process designed to help organizations improve their management of records and information.

- preliminary investigation (Step A)
- analysis of business activity (Step B)
- identification of recordkeeping requirements (Step C)
- assessment of existing systems (Step D)
- identification of strategies for recordkeeping (Step E)
- design of a recordkeeping system (Step F)
- implementation of a recordkeeping system (Step G), and
- post-implementation review (Step H)

DIRKS is based on and expands the best-practice approach outlined in Australian Standard AS 4390–1996, Records Management and International Standard ISO 15489, Records Management and the accompanying technical report.

In this assignment, you will work in groups to use the DIRKS methodology to examine, document, and suggest improvements for a personal electronic record keeping system of one of the members of your group. In using the DIRKS approach, your ultimate goal is to develop products and tools to support good recordkeeping including:

- documented recordkeeping requirements
- a ‘functions source document’ for each function
- a business and records classification scheme
- a records disposal schedule, and
- guidance on the development of appropriate policies and procedures to support personal records and information management

**For the purposes of this assignment each group is expected to complete the first six steps only (A-F). At each step, you should document your research in a structured fashion to**

**help you in writing the final report. As the DIRKS methodology has been created as a tool for organizations and not individuals, you will need a certain amount of flexibility and creative thinking to adapt these steps for your assignment. The ability of the group to grapple with, and think through, these issues will form a part of the final grade for this assignment. Further details about this assignment will be provided the first week of class.**

Sections of the DIRKS report should be completed per the following timetable:

- Preliminary investigation (Step A) - week 3 (Tuesday, September 19, 2017).
- Analysis of business activity (Step B) - week 5 (Tuesday, October 3, 2017).
- Identification of recordkeeping requirements (Step C) - week 7 (Tuesday, October 17, 2017)
- Assessment of existing systems (Step D) - week 9 (Tuesday, October 31, 2017).
- Identification of strategies for recordkeeping (Step E) - week 11 (Tuesday, November 14, 2017).
- Design of a recordkeeping system (modified Step F – see appendix A) - week 12 (Tuesday, November 21, 2017).

**Due Date for final report:** Week 14 (Tuesday, December 5, 2017)

### ***Grading Criteria for the DIRKS Assignment***

- Ability of the group to grapple with, and think through, DIRKS to come up with a final product
  - Level of engagement with the process of undertaking the first 6 steps of DIRKS such that the final report covers all the key content
  - Ability to plan specifically for electronic records and to investigate the use of technology as a tool to help undertake the DIRKS assignment
  - Depth of analysis demonstrated in the final report
  - Level and quality of work each person contributed to the assignment
  - Flexibility and creative thinking in adapting DIRKS to a personal electronic recordkeeping environment
- Research documented in a thorough and structured fashion with good use of visuals and tables as necessary.
- Writing style and mechanics (clarity of expression, good sentence structure, grammar, spelling, punctuation, etc.).

Evaluation: Giving appropriate credit for individual contribution to group projects is difficult since the instructor can have little knowledge of the day-to-day functioning of each group. To facilitate accurate grading of the project, I ask that at the end of the semester each student submit (via Canvas) a *confidential memo* crediting each member of the group a percentage of contribution to the whole. The percentages must total 100. In addition, you should comment

upon the work of any group member whose outstanding performance should be recognized or whose failure to contribute appropriately to the work of the group has affected the product of the group on which all are graded. Finally, you should describe any challenges that arose in the process of working as a group (coordination, motivation, effort etc.), and the strategies you utilized to address these issues. As appropriate, these observations will be considered in assigning the class participation grade.

## **2. *Records Management Magazine Article***

Students will work alone or in pairs to write a 2,500-word article suitable for publication in ARMA's *Information Management* magazine. The topic of the article will be discussed in class and will relate to some aspect of the latest information management trends, technologies, and best practices. The magazine article will be completed in three stages. By week 4 (Tuesday, September 26, 2017), the student(s) should submit a proposal consisting of: (a) a 200-word abstract describing the proposed article, with an accompanying title, (b) a statement about how this topic relates to or affects records and information management professionals, and (c), an outline with a detailed hierarchy of topics and subtopics. A draft of the complete article is due week 8 (Tuesday, October 24, 2017). The final version of the article is due week 13 (Tuesday, November 28, 2017).

### ***Grading Criteria for the Magazine Article***

The article will be evaluated per the *Information Management* author guidelines: with points assigned for readership appeal, originality, value, organization, credibility, length, technical material, style, research, and use of visual features.

## **3. *Class Participation***

Regular attendance and active participation are critical for receiving a good grade in this course. Attendance will be taken during each class period. Absences will only be excused in situations following university policy (illness, religious holy days, participation in University activities at the request of university authorities, and compelling absences beyond your control). Absences should be accompanied by timely notification (prior to class for non-emergencies) and proper documentation. If a class is missed the student should submit a 500-750-word review of the week's readings in lieu of attendance. This document should be emailed to me prior to the next week's class. In grading for class participation, I will take into consideration attendance, contribution to class discussions, use of the resources posted to Canvas, and engagement with the process of working on the magazine article and the DIRKS assignment.

## **EVALUATION**

DIRKS: 70% (NOTE: the grade will be split between individual contributions submitted during

the semester [40%] AND the final grade for the overall group project [30%])

RM Magazine Article: 20%

Class Participation: 10%

I will use the following schedule as the basis for calculating grades: A = 95-100, A- = 89-94, B+ = 84-88, B = 79-83, B- = 74-79, C+ = 69-73, C = 64-68, C- = 60-63, F = <60. For each 24 hours that an assignment is late, ten percent of the possible points may be deducted from the score. Assignments will not be accepted more than 6 days past the due date. EXTRA CREDIT: During the semester, the students who turn in the best individual assignment for each step of the DIRKS project will earn an extra 1%.

## **REQUIRED TEXTBOOKS**

Patricia C. Franks, *Records and Information Management* (Neal-Schuman, 2013).

## **ANNOUNCEMENTS**

### **University of Texas Honor Code**

The core values of The University of Texas at Austin are learning, discovery, freedom, leadership, individual opportunity, and responsibility. Each member of the university is expected to uphold these values through integrity, honesty, trust, fairness, and respect toward peers and community.

### **Policy on Academic Integrity**

Students who violate University rules on academic dishonesty are subject to disciplinary penalties, including the possibility of failure in the course and/or dismissal from the University. Since such dishonesty harms the individual, all students, and the integrity of the University, policies on academic dishonesty will be strictly enforced. For further information, please visit the Student Conduct and Academic Integrity website at: <http://deanofstudents.utexas.edu/conduct>.

### **Documented Disability Statement**

Any student with a documented disability who requires academic accommodations should contact Services for Students with Disabilities (SSD) at 471-6259 (voice) or 232-2937 (video phone) or <http://ddce.utexas.edu/disability/>. Faculty are not required to provide accommodations without an official accommodation letter from SSD. Please notify me as quickly as possible if the material being presented in class is not accessible (e.g., instructional videos need captioning, course packets are not readable for proper alternative text conversion, etc.).

### **Use of E-Mail for Official Correspondence to Students**

E-mail is recognized as an official mode of university correspondence; therefore, you are responsible for reading your e-mail for university and course-related information and announcements. You are responsible to keep the university informed about changes to your e-mail address. You should check your e-mail regularly and frequently—I recommend daily, but at minimum twice a week—to stay current with university-related communications, some of which may be time-critical. You can find UT Austin’s policies and instructions for updating your e-mail address at <http://www.utexas.edu/cio/policies/>

### **Religious Holy Days**

By UT Austin policy, you must notify me of your pending absence at least fourteen days prior to the date of observance of a religious holy day. If you must miss a class, a work assignment, or a project to observe a religious holy day, I will give you an opportunity to complete the missed work within a reasonable time after the absence.

### **Use of Canvas in Class**

In this class I use Canvas - a Web-based course management system with password-protected access at <http://courses.utexas.edu> - to distribute course materials, to communicate and collaborate online, to post announcements, and to submit assignments. You can find support in using Canvas at the ITS Help Desk at 475-9400, Monday through Friday, 8 a.m. to 6 p.m.

## **COURSE SCHEDULE**

### **Week One (Tuesday, September 5, 2017)**

*Introductions, Course Objectives, Assignments and Expectations* (the conduct of work, data/records/information, records and their characteristics, role of records in the public and private sector, records and records systems, drivers for records management, the business case for RIM, records management as a career)

IN CLASS: Overview of assignments
-----------------------------------

IN CLASS: Formation of DIRKS groups
-------------------------------------

- *American National Standards Institute. An Introduction to Standards: Why, Where and How Are They Developed*, <http://www.standardslearn.org/introtostandards.aspx>
- ISO 15489-1:2016 - *Information and documentation -- Records Management*
- State Records NSW - NSW Government, DIRKS Manual.
- Look through the resources available on the websites of ARMA ([www.arma.org](http://www.arma.org)), AIIM, (<http://www.aiim.org>), and the Institute of Certified Records Managers ([www.icrm.org](http://www.icrm.org)).

- ARMA, “Code of Professional Responsibility,” <http://www.arma.org/who-we-are/code-of-professional-responsibility>
- Complete the online training module, Chris Croft, “Teamwork Fundamentals.” [1hr, 16 min]

**Week Two (Tuesday, September 12, 2017)**

*The Role of Records Professionals in Society* (records management and information governance, RIM models, overview of the work of records managers, differences and similarities between records managers and other information professions, history of records management and the emergence of the records management profession in the United States, changes to RIM at the federal level, introduction to RIM and IG organizations)

IN CLASS: Discussion of DIRKS Step A
--------------------------------------

- Patricia C. Franks, *Records and Information Management*, chapter 1 (The Origins and Development of Records and Information Management), chapter 2 (Building an Information Governance Program on a Solid RIM Foundation), chapter 11 (Records Management Education and Training).
- Complete sections of the online training module, Robert Smallwood, “Learning Information Governance” [1hr, 11min, focus on sections 1 – Program Overview, 2 – Program Considerations, 3 – Program Factors].
- Patricia C. Franks, “Integrated ECM Solutions: Where Records Managers, Knowledge Workers Converge,” *Information Management Journal* (July/August 2016): 18-22.

**Week Three (Tuesday, September 19, 2017)**

*Running a Records and Information Management Program* (Information Governance – GARP, IGRM, Maturity Model for Information Governance; developing and running a records management program; placement of records management services within organizations; fundamentals of project management; ethical considerations of being a records professional)

DUE: DIRKS Step A
-------------------

In Class: Discussion of DIRKS Step B
--------------------------------------

IN CLASS: Teamwork Exercise – Appreciating Difference, Supporting Team Members
--

- Patricia C. Franks, *Records and Information Management*, chapter 12 (From Records Management to Information Governance: An Evolution).
- ARMA International, *GARP: Generally Accepted Recordkeeping Principles*® (2009).
- ARMA International, *Information Governance Maturity Model*, <http://www.arma.org/docs/bookstore/theprinciplesmaturitymodel.pdf>

- ARMA International, *Records and Information Management (RIM) Core Competencies*.
- ISO 21500:2012, *Guidance on Project Management*.
- Complete the online training module - Chris Croft, “Project Management Simplified” [1hr 19min].
- Anna Lebedeva, “Five Essential Project Management Skills for RM and IG Professionals,” *Information Management Journal* (September/October 2015): 28-33.

**Week Four (Tuesday, September 26, 2017)**

***Understanding Records in Depth – An Introduction to Diplomats*** (overview of nature, history, and object of diplomats; types of diplomats; definitions – accuracy, authentication, reliability, authenticity etc., and building blocks of diplomats; InterPARES Projects)

IN CLASS: Feedback on DIRKS
-----------------------------

DUE: Proposal for RM Magazine Article
---------------------------------------

- Luciana Duranti, “Diplomatics,” *Encyclopedia of Library and Information Science* (New York, Basel, Hong Kong: Marcel Dekker, INC., 2009).
- Luciana Duranti, “Archival Science,” *Encyclopedia of Library and Information Science* (59) (New York, Basel, Hong Kong: Marcel Dekker, 1996): 1-19.
- Luciana Duranti, “The Archival Bond” *Archives & Museum Informatics* 11 (3-4) (1997): 213-218.
- Luciana Duranti, “Concepts and Principles for the Management of Electronic Records, or Records Management Theory is Archival Diplomatics,” *Records Management Journal* 9 (3) (December 1999): 149-171.
- Luciana Duranti, “The Concept of Record in Interactive, Experiential and Dynamic Environments: The View of InterPARES,” *Archival Science* 6 (1) (2006): 13-68.

**Week Five (Tuesday, October 3, 2017)**

***The Records Environment*** (definition of documents and records, nature of electronic/digital records, characteristics of records including reliability and authenticity, concept of non-record and record copy, organizational needs for the creation of records, defining recordkeeping and records systems, ERMS/EDMS/ECM systems, DoD5015.2-STD and European Commission Modular Requirements for the Management of Electronic Records, new RIM orthodoxies)

DUE: DIRKS Step B
-------------------

IN CLASS: Discussion of DIRKS Step C
--------------------------------------

- Patricia C. Franks, *Records and Information Management*, chapter 6 (Electronic Records and Electronic Records Management Systems).

- MoREQ2010 - European Commission *Modular Requirements for the Management of Electronic Records*, 2011.
- ISO 16175 - *Principles and Functional Requirements for Records in Electronic Office Environments*, 2010/2011.
- Complete sections of the online training module, Gini von Courter, “SharePoint (2016) Online Essential Training” [focus on sections 1. Introduction to SharePoint, 2. Working with SharePoint Sites, 3. Editing, Saving, and Sharing Documents, and 12. SharePoint Content and Documents].

**Week Six (Tuesday, October 10, 2017)**

***Legal and Regulatory Compliance and Records Retention*** (quality assurance standards, professional and industry standards and codes of practice, legal/statutory requirements and e-discovery, spoliation, appraisal theory, appraisal criteria, risk management and retention decisions, records retention/disposition programs and implementation, the ‘big bucket’ approach)

IN CLASS: Feedback on DIRKS
-----------------------------

- Patricia C. Franks, *Records and Information Management*, chapter 9 (Monitoring, Auditing, and Risk Management).
- Patricia C. Franks, *Records and Information Management*, chapter 4 (Records Retention Strategies: Inventory, Appraisal, Retention, and Disposition)
- H. Kirk Snyder, “Five Steps In-House Counsel Should Take to Mitigate Information Risk,” *Information Management Journal* (July/August 2016): 24-27.
- Thomas M. Jones, et. al. “Going Global: Mapping an International Records Retention Strategy,” *Information Management Journal* 42 (3) (2008): 30-36.
- Susan Cisco and Lori Ashley, “*Streamlining Retention Schedules: The Benefits of ‘Big Buckets’*,” White Paper. Boston: Iron Mountain, 2007.
- Complete the online training module, Tiffany Songvilay “Manage Compliance in SharePoint.” [1hr, 25 min]

**Week Seven (Tuesday, October 17, 2017)**

***Analytical Techniques for RM and More about Metadata*** (RM and business process improvement and workflow mapping, metadata types, metadata as discoverable evidence, standards for recordkeeping metadata)

DUE: DIRKS Step C
-------------------

IN CLASS: Discussion of DIRKS Step D
--------------------------------------

- Patricia C. Franks, *Records and Information Management*, chapter 5 (Records and Information Access, Storage, and Retrieval).
- Complete the online training module, Haydn Thomas, “Business Process Modeling Fundamentals.” [1 hr, 20 min]
- Hakan P. Sundberg, “Process Based Archival Descriptions – Organizational and Process Challenges,” *Business Process Management Journal* 19 (5) (2013): 783-798.
- ISO 26122:2008, *Information and Documentation - Work Process Analysis for Records*.
- ISO 23081-1:2006, *Information and Documentation, Records Management Processes, Metadata for Records*, Part 1, Principles.

### **Week Eight (Tuesday, October 24, 2017)**

***Creating, Capturing, and Classifying Records and Documenting their Context*** (taxonomies, thesauri, business classification schemes and records classifications schemes, filing and indexing, architectures of paper based and electronic records systems, automated classification)

IN CLASS: Discussion of DIRKS Step E and F
--

Due: Draft of RM Magazine Article
-----------------------------------

- Patricia C. Franks, *Records and Information Management*, chapter 3 (Records and Information Creation/Capture, Classification, and File Plan Development)
- National Archives of Australia. *Overview of Classification Tools for Records Management*. [http://www.naa.gov.au/Images/classification%20tools\\_tcm16-49550.pdf](http://www.naa.gov.au/Images/classification%20tools_tcm16-49550.pdf)
- Denise Bruno and Heather Richmond, “The Truth about Taxonomies,” *Information Management Journal* 37 (2) (March 2003): 44-53.
- Complete the online training module, Gary Yeoman, “Designing a SharePoint Taxonomy.” [38 min]
- ANSI/ARMA 12-2005. *Establishing Alphabetic, Numeric and Subject Filing Systems*.

### **Week Nine (Tuesday, October 31, 2017)**

***Work Week***

DUE: DIRKS Step D
-------------------

### **Week Ten (Tuesday, November 7, 2017)**

***Panel of Records Management Professionals – Corporate, State, City, and University***

William Bassinger, Sr. Information Lifecycle Analyst at BBVA Compass, Austin; Bob Guz, Strategic Projects, Office of the City Clerk, Austin; Maryrose Hightower-Coyle, Records and Information Management Services, The University of Texas at Austin; April Norris, Deputy

Chief of Information Governance for the Information Governance and Logistical Operations Division, Office of the Attorney General of Texas; Jenny Singer, Records Management Officer, Texas Health and Human Services, Austin

**Week Eleven (Tuesday, November 14, 2017)**

***Information Delivery Platforms - Managing Email, Mobile Devices, Social Media, Web Resources, and RM in the Cloud*** (innovation and trend spotting, managing email, NARA's Capstone solution, managing IM, consumer focused and enterprise grade social media, managing web resources, records management in the cloud)

DUE: DIRKS Step E
-------------------

- Patricia C. Franks, *Records and Information Management*, chapter 7 (Emerging Technologies and Records Management).
- *The Sedona Conference® Primer on Social Media* (December 2012).
- John T. Phillips, "Best Practices for Managing Social Media Content," *Information Management Journal* (September/October 2015): 38-44.
- Lauren A. Allen and Michael C. Wylie, "Managing and Collecting Social Media for E-Discovery," *Information Management Journal* 47 (3) (May/June 2013): 22-26.
- Complete sections of the online training module, David Linthicum, "Learning Cloud Computing." [focus on section 1 - Cloud Computing Basics].
- "Making the Jump to the Cloud? How to Manage Information Governance Challenges," ARMA International (2010).

**Week Twelve (Tuesday, November 21, 2017)**

***Protecting and Managing the Integrity of Records*** (information and system security, vital records, disaster planning and recovery, business continuity planning, microfilm and digital imaging technologies)

DUE: DIRKS Step F
-------------------

- Patricia C. Franks, *Records and Information Management*, chapter 8 (Vital Records, Disaster Preparedness and Recovery, and Business Continuity).
- ANSI/ARMA 5-2003. *Vital Records: Identifying, Managing, and Recovering Business-Critical Records*.
- Virginia A. Jones, "How to Avoid Disaster: RIM's Crucial Role in Business Continuity Planning," *Information Management Journal* 45 (6) (Nov/Dec 2011): 36-40.
- ISO 13028: 2010, *Information and documentation - Implementation Guidelines for*

*Digitization of Records.*

**Week Thirteen (Tuesday, November 28, 2017)**

***Storing and Preserving Records*** (records centers, corporate archives, difference between enterprise storage and digital preservation, information lifecycle management (ILM), nature of digital curation and preservation and its importance from a records management perspective, preservation of email and web records)

DUE: Final Magazine Article
-----------------------------

- Patricia C. Franks, *Records and Information Management*, chapter 10 (Inactive Records Management, Archives, and Long-Term Preservation).
- ANSI/ARMA TR-01-2002. *Records Center Operations*.
- Mary Baker, Kimberly Keeton, and Sean Martin, “Why Traditional Storage Systems Don't Help Us Save Stuff Forever,” *Proc. 1st IEEE Workshop on Hot Topics in System Dependability* (2005). <http://www.hpl.hp.com/techreports/2005/HPL-2005-120.pdf>
- Gordon Hoke, “Future Watch: Strategies for Long-Term Preservation of Electronic Records,” *Information Management Journal* 46 (3) (May/Jun 2012): 26-31.
- Christopher Hives, “History, Business Records, and Corporate Archives in North America,” *Archivaria* 22 (Summer 1986): 40-57.
- ISO 16363: 2012, *Audit and Certification of Trustworthy Digital Repositories*.

**Week Fourteen (Tuesday, December 5, 2017)**

***Your RIM Career and Course Wrap-up***

DUE: Final DIRKS Document
---------------------------

DUE: ‘My Contribution to DIRKS’ Memo
--------------------------------------