

INF 389E: Introduction to Records Management
Fall 2014
Unique Number: 28895

INSTRUCTOR

Professor: Ciaran B. Trace
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Office Hours: Monday, noon to 3pm

COURSE MEETING TIMES

Monday, 9am to noon (1.502)

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:

- Articulate what records are (whether in paper or in electronic form)
- Understand and analyze why people, organizations, and governments create and keep records
- Understand and analyze the impact (practical, economic and social) that records management has in organizational environments and government settings
- 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
- Understand and articulate policies and procedures for managing active and inactive records (in paper and in electronic form)
- Gain firsthand experience of designing an effective electronic record keeping system
- Understand the tools 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 on the basis of 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 the personal electronic record keeping systems 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 according to the following timetable:

- Preliminary investigation (Step A) - week 3 (Monday, September 22nd, 2014).
- Analysis of business activity (Step B) - week 5 (Monday, October 6th, 2014).
- Identification of recordkeeping requirements (Step C) - week 7 (Monday, October 20th, 2014).
- Assessment of existing systems (Step D) - week 9 (Monday, November 3rd, 2014).
- Identification of strategies for recordkeeping (Step E) - week 11 (Monday, November 17th, 2014).
- Design of a recordkeeping system (modified Step F – see appendix A) - week 11 (Monday, November 17th, 2014).

Due Date for final report: Week 13 (Monday, December 1st, 2014)

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 individual 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.).

2. Presentation on Records and Technology

As a class you will work in pairs to create and deliver presentations on records and technology. These presentations will focus on tools that relate to understanding and managing digital records and that will help with the DIRKS project, as well as resources for records management in general. In particular, these presentations will cover resources (command line,

browser add-ons/extensions, utilities and software, etc.) and services for disk drive analysis and disk usage; file format identification characterization, validation and transformation; redacting and removing information from files; file renaming and de-duplicating; downloading and archiving social media content; data backup, recovery and anti-virus tools; as well as digital asset management software, general records management software and digital preservation systems. Good places to start to research some of these tools include websites *Freeware Files* (<http://www.freewarefiles.com>) and *alternativeTo* (<http://alternativeto.net/software>).

- Disk drive analysis and disk usage (e.g. JDiskReport, Disk Investigator, DirListing, Karens Directory Printer, FileList, Visual CD, HDGraph, Disk Inventory X, SpaceSniffer) [WEEK 3]
- File format identification, characterization, validation and transformation (e.g. FileAlyzer, TrID - File Identifier, DROID, Easy CD-DA Extractor - Poikosoft, identify - ImageMagick command, JHOVE, Antiword, Xena / Xenalite, Unoconv) [WEEK 4]
- Redacting and removing information from files (e.g. MRU-Blaster, Rapid Redact, Office 2003/XP Add-in: Remove Hidden Data, Redax) [WEEK 5]
- Digital Asset Management (DAM) software (e.g. HP MediaBin, Portfolio Server, Canto Cumulus, Corbis) [WEEK 6]
- Records Management (RM) software (e.g. Microsoft SharePoint 2010). [WEEK 6]
- File renaming and de-duplicating (e.g, detox, Siren, Image Renaming, RenPhoric, Nodupe) and file transfer (Baggit and Bagger) [WEEK 7]
- Data visualization and analysis (e.g. Many Eyes, Google Refine, Google Chart Tools, Google Fusion Tables, Impure, tableau public, Zoho Reports) [WEEK 8]
- Downloading and archiving social media content (e.g. Twinbox, ArchiveFB, Loccit, SocialSafe, ArchiveSocial and consult <http://www.archives.gov/records-mgmt/resources/socialmediacapture.pdf>) [WEEK 10]
- Data backup, recovery and anti-virus tools (e.g. backufify, dd_rescue, Restorer Ultimate, ClamAV) [WEEK 11]
- Digital preservation systems (e.g. Preservica, Ex Libris Rosetta) [WEEK 12]

Each team will research and present one 40-minute presentation on one of the topics listed above. Each team will be responsible for creating their own PowerPoint presentation for their talk. The PowerPoint presentation must be finalized and sent to Ciaran no later than 8am the morning before the presentation is due to be given. These PowerPoint handouts will then be posted to the class Canvas website for students to download prior to class. Student teams can make an appointment with Ciaran early on in the semester to get some feedback while putting together outlines for their session.

Grading Criteria for this Assignment:

A formal grading rubric (covering the areas of content, organization, teamwork, visuals, and presentation mechanics) will be handed out in class and includes:

- Relevancy, clarity, thoroughness, organization, and conciseness of oral content
- Relevancy, clarity, thoroughness, organization, and conciseness of written content
- Effectiveness of the teamwork (each team member contributed to the presentation, each team member fielded questions)
- Presentation mechanics (delivery of presentation)

Due Date: See course schedule.

3. Class Participation

In grading for class participation, I will take into consideration student attendance, and each individual's contribution to class discussions, use of the resources posted to Canvas, and engagement with the process of working on the presentation and the DIRKS assignment.

EVALUATION

DIRKS: 70% (NOTE: grade will be split between individual contributions submitted during the semester [40%] AND the final grade for the overall group project [30%])

Presentation: 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. 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).
- *Strategies for Documenting Government Business: The DIRKS Manual*, <http://www.records.nsw.gov.au/recordkeeping/advice/designing-implementing-and-managing-systems/dirks-manual/dirks-manual>

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.

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 in order to observe a religious holy day, I will give you an opportunity to complete the missed work within a reasonable time after the absence.

COURSE SCHEDULE

Week One (Monday, September 8th, 2014)

Introductions, course objectives, assignments and expectations (the conduct of work, records and their characteristics, role of records in the public and private sector, records and records systems, records management and the user centered turn, records management as a career)

IN CLASS: Overview of assignments
IN CLASS: Formation of DIRKS groups

- Understanding Society Through its Records. Work through the following sections:

“Overview of Records and Recordkeeping,” “Ensuring Evidence through Recordkeeping,” and “Empowering Justice through Recordkeeping.” <http://john.curtin.edu.au/society/>

- World Bank. *Why Records Management?* <http://go.worldbank.org/889BWHZPL0>
- ISO 15489-1:2001 - Information and documentation -- Records management -- Part 1: General.
- ISO/TR 15489-2:2001 - Information and documentation -- Records management -- Part 2: Guidelines.
- DIRKS Manual, <http://www.records.nsw.gov.au/recordkeeping/advice/designing-implementing-and-managing-systems/dirks-manual/print-versions>

Week Two (Monday, September 15th, 2014)

The Role of Records Professionals in Society (records management and information governance; overview of the work of records managers; differences and similarities between records managers and other information professions; changes to RM at the federal level; history of records management and the reemergence of the records management profession in the United States; introduction to RM 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).
- Patricia C. Franks, *Records and Information Management*, chapter 11 (Records Management Education and Training).
- Luciana Duranti, “The Odyssey of Records Managers,” in *Canadian Archival Studies and the Rediscovery of Provenance* (Metuchen: Society of Canadian Archivists and Association of Canadian Archivists, 1993), pp. 29-60.
- Luciana Duranti, “Archival Science,” *Encyclopedia of Library and Information Science* (59) (New York, Basel, Hong Kong: Marcel Dekker, 1996): 1-19.
- Look at ARMA International’s website www.arma.org and the website of AIIM, <http://www.aiim.org>. Also look at the websites of the Institute of Certified Records Managers www.icrm.org.

Week Three (Monday, September 22nd, 2014)

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 versus EDMS; DoD5015.2-STD and European Commission Modular Requirements for the Management of Electronic Records)

DUE: DIRKS Step A

Presentation: Disk drive analysis and disk usage

- Patricia C. Franks, *Records and Information Management*, chapter 6 (Electronic Records and Electronic Records Management Systems).
- Neil Simons, “CMS? RMS? Spelling Out the Right Information Management Solution,” *Information Management Journal* 42 (6) (November/December 2008): 58-62.
- Jeanne Young, “Electronic Records Management on a Shoestring: Three Case Studies,” *Information Management Journal* 39 (1) (January/February 2005): 58-60.
- MoREQ2010 - European Commission *Modular Requirements for the Management of Electronic Records*, 2011.

Week Four (Monday, September 29th, 2014)

Understanding Records in More 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: Discussion of DIRKS Step B

Presentation: File format identification, characterization, validation and transformation

- Luciana Duranti, “Diplomats,” *Encyclopedia of Library and Information Science* (New York, Basel, Hong Kong: Marcel Dekker, INC., 2009).
- 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 Diplomats,” *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 (Monday, October 6th, 2014)

Analyzing the Context for Records Management - Internal and External Influences

Affecting the Practice of Records Management and the Tools to Understand this Context.

(RM models and frameworks; legal/statutory requirements, quality assurance standards, professional and industry standards and codes of practice; legal/statutory requirements and e-discovery; analytical techniques)

DUE: DIRKS Step B

Presentation: Redacting and removing information from files

- Patricia C. Franks, *Records and Information Management*, chapter 2 (Building an Information Governance Program on a Solid RIM Foundation).
- Patricia C. Franks, *Records and Information Management*, chapter 9 (Monitoring, Auditing, and Risk Management).
- John Bolton, “Standards: Providing a Framework for RIM Success,” *Information Management Journal* 45 (3) (May/Jun2011): 30-35.
- Bill Millican, “Building a Successful E-Discovery Strategy,” *Information Management Journal* (47) 6 (2013): 32-36.
- Ganesh Vednere, “The Quest for eDiscovery: Creating a Data Map,” *Infonomics* 23 (6) (Nov/Dec 2009):28-33. <http://www.aiim.org/community/wiki/view/creating-a-data-map>

Week Six (Monday, October 13th, 2014)

Business Process, Workflow and More about Metadata (RM and business process improvement and workflow mapping, metadata types, and metadata as discoverable evidence; standards for recordkeeping metadata)

IN CLASS: Discussion of DIRKS Step C

Presentation: Digital Asset Management Systems

Presentation: Records Management Software

- Patricia C. Franks, *Records and Information Management*, chapter 5 (Records and Information Access, Storage, and Retrieval).
- Hakan P. Sundberg, “Process Based Archival Descriptions – Organizational and Process Challenges,” *Business Process Management Journal* 19 (5) (2013): 783 – 798.
- ISO 23081-1:2006, Information and Documentation, Records Management Processes, Metadata for Records, Part 1, Principles.

Week Seven (Monday, October 20th, 2014)

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

DUE: DIRKS Step C

Presentation: File renaming, de-duplicating, and file transfer

- Patricia C. Franks, *Records and Information Management*, chapter 3 (Records and Information Creation/Capture, Classification, and File Plan Development)
- Denise Bruno and Heather Richmond, “The Truth about Taxonomies,” *Information Management Journal* 37 (2) (March 2003): 44-53.
- National Archives of Australia. *Overview of Classification Tools for Records Management*. http://www.naa.gov.au/Images/classification%20tools_tcm16-49550.pdf
- ANSI/ARMA 12-2005. *Establishing Alphabetic, Numeric and Subject Filing Systems*.

Week Eight (Monday, October 27th, 2014)

Making Appraisal and Retention Decisions (appraisal theory, appraisal criteria, risk management and retention decisions; records retention/disposition programs and implementation; the “big bucket” approach)

IN CLASS: Discussion of DIRKS Step D

Presentation: Data visualization and analysis

- Patricia C. Franks, *Records and Information Management*, chapter 4 (Records Retention Strategies: Inventory, Appraisal, Retention, and Disposition)
- ANSI/ARMA 8-2005. *Retention Management for Records and Information*.
- 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.

Week Nine (Monday, November 3rd, 2014)

Panel of Austin Area Records Management Professionals

DUE: DIRKS Step D

Week Ten (Monday, November 10th, 2014)

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

IN CLASS: Discussion of DIRKS Step E and F

Presentation: Downloading and archiving social media content

- Patricia C. Franks, *Records and Information Management*, chapter 7 (Emerging Technologies and Records Management).
- Patricia C. Franks, "How Federal Agencies Can Effectively Manage Records Created Using New Social Media Tools," in Using Technology Series. Washington, DC: IBM Center for the Business of Government, 2010. <http://www.businessofgovernment.org/sites/default/files/How%20Federal%20Agencies%20Can%20Effectively%20Manage%20Records%20Created%20Using%20New%20Social%20Media%20Tools.pdf>
- The Sedona Conference® Primer on Social Media (December 2012).
- Lauren A. Allen and Michael C. Wylie, "Managing and Collecting Social Media for E-Discovery," *Information Management Journal* 47 (3) (May/Jun2013): 22-26.
- "Making the Jump to the Cloud? How to Manage Information Governance Challenges," ARMA International, (2010).

Week Eleven (Monday, November 17th, 2014)

Managing the Integrity of Records (security, vital records, disaster planning and recovery, business continuity planning, and imaging technologies)

DUE: DIRKS Step E and F

Presentation: Data backup, recovery and anti-virus tools

- 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/Dec2011): 36-40.

Week Twelve (Monday, November 24th, 2014)

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

Presentation: Digital preservation systems

- Patricia C. Franks, *Records and Information Management*, chapter 10 (Inactive Records Management, Archives, and Long-Term Preservation)
- 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/Jun2012): 26-31.
- Christopher Hives, “History, Business Records, and Corporate Archives in North America,” *Archivaria* 22 (Summer 1986): 40-57.
- ANSI/ARMA TR-01-2002. *Records Center Operations*.

Week Thirteen (Monday, December 1st, 2014)

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

DUE: Final DIRKS Document

DUE: “My Contribution to DIRKS” Memo

- Patricia C. Franks, *Records and Information Management*, chapter 12 (From Records Management to Information Governance: An Evolution).
- ARMA, “Code of Professional Responsibility,” <http://www.arma.org/r2/who-we-are/code-of-professional-responsibility>
- ARMA International. *Records and Information Management (RIM) Core Competencies*.
- ARMA International GARP: Generally Accepted Recordkeeping Principles® (2009).
- ARMA International, Information Governance Maturity Model, <http://www.arma.org/docs/bookstore/theprinciplesmaturitymodel.pdf>