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 introduces 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 information governance and 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
- 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.
CLASS RESOURCES

Required Textbooks

Use of Canvas in Class
In this class I use Canvas - a Web-based course management system with password-protected access at [https://canvas.utexas.edu/](https://canvas.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 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)

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 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.
- Analysis of business activity (Step B) - week 5.
- Identification of recordkeeping requirements (Step C) - week 7.
- Assessment of existing systems (Step D) - week 9.
- Identification of strategies for recordkeeping (Step E) - week 11
- Design of a recordkeeping system (modified Step F – see appendix A) - week 12.

**Due Date for final report:** Week 14.

**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 six 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 two stages. A draft of the complete article is due week 8. The final version of the article is due week 13.

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%

Assignments are due by 8am on the due date. I will use the following schedule as the basis for calculating grades:

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Late Work: Please note that given the nature of the course it is generally not possible to grant extensions for assignments. If the assignment is not handed in on the due date and time you will lose half a letter grade (e.g., A becomes A-, A- becomes B+, and so on). You will lose another half a grade per additional day late. 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%.
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
A fundamental principle for any educational institution, academic integrity is highly valued and seriously regarded at The University of Texas at Austin. More specifically, you and other students are expected to maintain absolute integrity and a high standard of individual honor in scholastic work undertaken at the University. This is a very basic expectation that is further reinforced by the University's Honor Code. At a minimum, you should complete any assignments, exams, and other scholastic endeavors with the utmost honesty, which requires you to:

- acknowledge the contributions of other sources to your scholastic efforts;
- complete your assignments independently unless expressly authorized to seek or obtain assistance in preparing them;
- follow instructions for assignments and exams, and observe the standards of your academic discipline; and
- avoid engaging in any form of academic dishonesty on behalf of yourself or another student.

For the official policies on academic integrity and scholastic dishonesty, please refer to Chapter 11 of the Institutional Rules on Student Services and Activities.

Q Drop Policy
If you want to drop a class after the 12th class day, you will need to execute a Q drop before the Q-drop deadline, which typically occurs near the middle of the semester. Under Texas law, you are only allowed six Q drops while you are in college at any public Texas institution. For more information, see:
https://ugs.utexas.edu/vick/academic/adddrop/qdrop

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 https://cio.utexas.edu/policies

**Religious Holy Days**

The University of Texas at Austin is strengthened by its global and multicultural character and is committed to diversity and equal opportunity in employment and education. This commitment includes embracing religious diversity and cultivating a community of inclusion and respect. Please 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, an examination, 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. Students who have questions or concerns about academic accommodations for religious observance or religious beliefs may contact the Office for Inclusion and Equity, http://equity.utexas.edu/.

**Title IX Reporting**

Title IX is a federal law that protects against sex and gender-based discrimination, sexual harassment, sexual assault, sexual misconduct, dating/domestic violence and stalking at federally funded educational institutions. UT Austin is committed to fostering a learning and working environment free from discrimination in all its forms. When sexual misconduct occurs in our community, the university can:

- Intervene to prevent harmful behavior from continuing or escalating.
- Provide support and remedies to students and employees who have experienced harm or have become involved in a Title IX investigation.
- Investigate and discipline violations of the university’s relevant policies.

Faculty members and certain staff members are considered “Responsible Employees” or “Mandatory Reporters,” which means that they are required to report violations of Title IX to the Title IX Coordinator. **I am a Responsible Employee and must report any Title IX related incidents** that are disclosed in writing, discussion, or one-on-one. Before talking with me, or with any faculty or staff member about a Title IX related incident, be sure to ask whether they are a responsible employee. If you want to speak with someone for support or remedies without making an official report to the university, email advocate@austin.utexas.edu For more information about reporting options and resources, visit titleix.utexas.edu or contact the Title IX Office at
UNIVERSITY RESOURCES FOR STUDENTS

Your success in this class is important to me. If there are aspects of this course that prevent you from learning or exclude you, please let me know as soon as possible. Together we will develop strategies to meet both your needs and the requirements of the course.

**Personal or Family Emergencies**
If you experience a personal or family emergency (death in the family, protracted sickness, serious mental health issues) you should contact Student Emergency Services in the Office of the Dean of Students. As advocates, SES supports students by providing the most comprehensive outreach, assistance, intervention, and referrals. They will also work with you to communicate with me and your other professors and let them know of your situation. [http://deanofstudents.utexas.edu/](http://deanofstudents.utexas.edu/)

**Services for Students with Disabilities**
This class respects and welcomes students of all backgrounds, identities, and abilities. If there are circumstances that make our learning environment and activities difficult, if you have medical information that you need to share with me, or if you need specific arrangements in case the building needs to be evacuated, please let me know. I am committed to creating an effective learning environment for all students, so please discuss your needs with me as early as possible. I promise to maintain the confidentiality of these discussions. If appropriate, also contact Services for Students with Disabilities, 512-471-6259 (voice) or 1-866-329-3986 (video phone). [http://diversity.utexas.edu/disability/about/](http://diversity.utexas.edu/disability/about/)

**The University Writing Center**
The UWC provides free programs to support and empower all UT graduate students. UWC consultants provide one-on-one feedback on any project at any stage of your writing process. For group accountability and instruction, check out UWC monthly writing groups, workshops, and Saturday retreats. For more information, please visit [http://uwc.utexas.edu/grad/](http://uwc.utexas.edu/grad/)

**The Sanger Learning Center**
If you are looking to improve your study skills, writing skills, or public speaking skills you should take advantage of the Sanger Learning Center's classes and workshops,
private learning specialist appointments, peer academic coaching, and tutoring. For more information, please visit [http://www.utexas.edu/ugs/slc](http://www.utexas.edu/ugs/slc) or call 512-471-3614.

**Counseling and Mental Health Center**

There are many helpful counseling and mental health resources available on campus and an important part of the college experience is learning how to ask for help. If you or anyone you know experiences any academic stress, difficult life events, or feelings like anxiety or depression, I strongly encourage you to seek support, including from the relevant university resources. [https://www.cmhc.utexas.edu/individualcounseling.html](https://www.cmhc.utexas.edu/individualcounseling.html)

**Important Safety Information**

If you have concerns about the safety or behavior of fellow students, TAs or Professors, call BCAL (the Behavior Concerns Advice Line) at (512) 232-5050. Your call can be anonymous. If something doesn’t feel right – it probably isn’t. Trust your instincts and share your concerns.

The following are recommendations regarding emergency evacuation from the Office of Campus Safety and Security, 512-471-5767, [http://www.utexas.edu/safety/](http://www.utexas.edu/safety/)

- Occupants of buildings on The University of Texas at Austin campus are required to evacuate buildings when a fire alarm is activated. Alarm activation or announcement requires exiting and assembling outside.
- Familiarize yourself with all exit doors of each classroom and building you may occupy. Remember that the nearest exit door may not be the one you used when entering the building.
- Students requiring assistance in evacuation shall inform their instructor in writing during the first week of class.
- In the event of an evacuation, follow the instruction of faculty or class instructors. Do not re-enter a building unless given instructions by the following: Austin Fire Department, The University of Texas at Austin Police Department, or Fire Prevention Services office.
- Link to information regarding emergency evacuation routes and emergency procedures can be found at: [http://emergency.utexas.edu/](http://emergency.utexas.edu/)

**STUDENT RIGHTS AND RESPONSIBILITIES**
• You have a right to a learning environment that supports mental and physical wellness.
• You have a right to respect.
• You have a right to be assessed and graded fairly.
• You have a right to freedom of opinion and expression.
• You have a right to privacy and confidentiality.
• You have a right to meaningful and equal participation
• You have a right to learn in an environment that is welcoming to all people. No student shall be isolated, excluded or diminished in any way.

With these rights come responsibilities:
• You are responsible for taking care of yourself, managing your time, and communicating with the teaching team and with others if things start to feel out of control or overwhelming.
• You are responsible for acting in a way that is worthy of respect and always respectful of others.
• Your experience with this course is directly related to the quality of the energy that you bring to it, and your energy shapes the quality of your peers’ experiences.
• You are responsible for creating an inclusive environment and for speaking up when someone is excluded.
• You are responsible for holding yourself accountable to these standards, holding each other to these standards, and holding the teaching team accountable as well.

**Personal Names and Pronouns**
Professional courtesy and sensitivity are especially important with respect to individuals and topics dealing with differences of race, culture, religion, politics, sexual orientation, gender, gender variance, and nationalities. Class rosters are provided to the instructor with the student’s legal name. I will gladly honor your request to address you by an alternate name or gender pronoun. Please advise me of this early in the semester so that I may make appropriate changes to my records.

**COURSE SCHEDULE**

**Week One (Tuesday, September 4, 2018)**
*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 - DIRKS and Magazine Assignment

IN CLASS: Formation of DIRKS groups and discussion of DIRKS Step A

- ISO 15489-1:2016 - *Information and documentation -- Records Management*
- Complete the online training module, Chris Croft, “Teamwork Fundamentals.” [1hr, 16 min]
- Look through the resources available on the websites of ARMA, AIIM, and the Institute of Certified Records Managers.
- ARMA, “Code of Professional Responsibility.”

**Week Two (Tuesday, September 11, 2018)**

*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: Teamwork Exercise – Appreciating Difference, Supporting Team Members

- 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].

**Week Three (Tuesday, September 18, 2018)**

*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)

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<td>Discussion of DIRKS Step B</td>
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- ARMA International, *Records and Information Management (RIM) Core Competencies*.
- Complete the online training module - Chris Croft, “Project Management Simplified” [1hr 19min].

**Week Four (Tuesday, September 25, 2018)**

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

| IN CLASS: | Feedback on DIRKS Step A |

• 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 2, 2018)**

**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 |

• 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 9, 2018)**

**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 Step B |

• H. Kirk Snyder, “Five Steps In-House Counsel Should Take to Mitigate Information

- Complete the online training module, Tiffany Songvilay “Manage Compliance in SharePoint.” [1hr, 25 min]

Week Seven (Tuesday, October 16, 2018)

Work Week

DUE: DIRKS Step C

Week Eight (Tuesday, October 23, 2018)

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)

IN CLASS: Feedback on DIRKS Step C
IN CLASS: Discussion of DIRKS Step C
Due: Draft of RM Magazine Article

- 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]

Week Nine (Tuesday, October 30, 2018)

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)

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- Patricia C. Franks, *Records and Information Management*, chapter 3 (Records and Information Creation/Capture, Classification, and File Plan Development)
- Complete the online training module, Gary Yeoman, “Designing a SharePoint Taxonomy.” [38 min]

**Week Ten (Tuesday, November 6, 2018)**

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

**Week Eleven (Tuesday, November 13, 2018)**

*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)

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- Patricia C. Franks, *Records and Information Management*, chapter 7 (Developing and Emerging Technologies and Records Management).
- *The Sedona Conference® Primer on Social Media* (December 2012).
- 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 20, 2018)
Protecting and Managing the Integrity of Records (information as asset, information and system security, vital records, disaster planning and recovery, business continuity planning, microfilm and digital imaging technologies)

DUE: DIRKS Step F
IN CLASS: Feedback on DIRKS Step E

• Patricia C. Franks, Records and Information Management, chapter 8 (Vital [Essential] Records, Disaster Preparedness and Recovery, and Business Continuity), chapter 10 (Information Economics, Privacy, and Security)

Week Thirteen (Tuesday, November 27, 2018)
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
IN CLASS: Feedback on DIRKS Step F

• Patricia C. Franks, Records and Information Management, chapter 11 (Inactive Records Management: Records Centers and Archives), chapter 12 Long-Term Digital Preservation and Trusted Digital Repositories).

**Week Fourteen (Tuesday, December 4, 2018)**

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

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