INF 389E: Introduction to Records Management
Fall 2015
Unique Number: 27870

INSTRUCTOR

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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:

- 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 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 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 (Tuesday, September 15, 2015).
- Analysis of business activity (Step B) - week 5 (Tuesday, September 29, 2015).
- Identification of recordkeeping requirements (Step C) - week 7 (Tuesday, October 13, 2015).
- Assessment of existing systems (Step D) - week 9 (Tuesday, October 27, 2015).
- Identification of strategies for recordkeeping (Step E) - week 11 (Tuesday, November 10, 2015).
- Design of a recordkeeping system (modified Step F – see appendix A) - week 12 (Tuesday, November 17, 2015).

Due Date for final report: Week 14 (Tuesday, December 1, 2015)

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. *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 should relate to some aspect of the latest records and information management trends, technologies, and best practices. The magazine article will be completed in three stages. By week 4 (Tuesday,

September 22, 2015), 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 10 (Tuesday, November 3, 2015). The final version of the article is due week 13 (Tuesday, November 24, 2015).

Grading Criteria for the Magazine Article
The article will be evaluated according to 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
In grading for class participation, I will take into consideration student attendance, 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: 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. 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.

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 1, 2015)
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
- *American National Standards Institute. An Introduction to Standards: Why, Where and How Are They Developed,* http://www.standardslearn.org/introtostandards.aspx
- 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 (Tuesday, September 8, 2015)
The Role of Records Professionals in Society (records management and information governance; RM models; overview of the work of records mangers; 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 2 (Building an Information Governance Program on a Solid RIM Foundation).
- 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 (Tuesday, September 15, 2015)
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

- Patricia C. Franks, *Records and Information Management*, chapter 6 (Electronic Records and Electronic Records Management Systems).
- Geoffrey Yeo, "Rising to the Level of a Record? Some Thoughts on Records and Documents," *Records Management Journal* 21(1) (2011): 8 – 27.
- 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.
- ISO 16175 - *Principles and Functional Requirements for Records in Electronic Office Environments.*

Week Four (Tuesday, September 22, 2015)
Understanding Records in More 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: Discussion of DIRKS Step B
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, "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, September 29, 2015)
Legal and Regulatory Compliance and Records Retention (legal/statutory requirements, quality assurance standards, professional and industry standards and codes of practice; legal/statutory requirements and e-discovery; appraisal theory, appraisal criteria, risk management and retention decisions; records retention/disposition programs and implementation; the 'big bucket' approach)

DUE: DIRKS Step B

- 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)
- Bill Millican, "Building a Successful E-Discovery Strategy," *Information Management Journal* (47) 6 (2013): 32-36.
- 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 Six (Tuesday, October 6, 2015)
Analytical Techniques for RM 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

- 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 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 Seven (Tuesday, October 13, 2015)
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

- 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/classifcation%20tools_tcm16-49550.pdf
- ANSI/ARMA 12-2005. *Establishing Alphabetic, Numeric and Subject Filing Systems*.

Week Eight (Tuesday, October 20, 2015)
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 D

- 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 Nine (Tuesday, October 27, 2015)
Panel of Austin Area Records Management Professionals

DUE: DIRKS Step D

Week Ten (Tuesday, November 3, 2015)
Managing the Integrity of Records (security, vital records, disaster planning and recovery, business continuity planning, and imaging technologies)

IN CLASS: Discussion of DIRKS Step E and F

Due: Draft of RM Magazine Article

- 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 Eleven (Tuesday, November 10, 2015)
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)

DUE: DIRKS Step E

- 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/Jun 2012): 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*.
- ISO 16363: 2012, *Audit and certification of trustworthy digital repositories*.

Week Twelve (Tuesday, November 17, 2015)
Texas E-Records Conference

DUE: DIRKS Step F

Week Thirteen (Tuesday, November 24, 2015)
Work on DIRKS projects

DUE: Final Magazine Article

Week Fourteen (Tuesday, December 1, 2015)
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
- ISO 21500:2012, *Guidance on Project Management.*

Appendix A: DIRKS ASSIGNMENT

In forming DIRKS groups it may be helpful to work together with people who use the same computer operating system. When the groups are formed, spend the first few weeks of class going over the DIRKS document with your teammates. Remember that the different steps in the assignment should be apportioned equally - each member of the group should tackle at least one of the first three steps of DIRKS and one of the last three steps of DIRKS. Furthermore, each student should take a turn acting as editor (proof reading, quality assurance etc.) for the DIRKS steps, and an overall editor will be needed for the final document.

NB: In all the sections of your report, you should also note the sources you used to compile this information and include this in the text or in an appendix. You should also make sure to format the DIRKS assignment as a business report.

A. Preliminary Investigation

The purpose of Step A is to identify and document your subject's role(s) in life; business, regulatory, and sociopolitical environments in which they operate; and major factors affecting his/her recordkeeping practices. In this first part of the DIRKS report, the following narrative sections should be included:

- Establish a need to investigate these recordkeeping systems (including describing specific problems that your subject has run into with regard to his/her electronic records);
- Identify and describe the type of work your subject carries out;
    - Here you can start to work on describing the roles your subject plays in life (citizen, student, employee, social being, consumer, etc.) - these will be examined and defined more closely in Step B: *Analysis of business activity*)
- Identify and describe all your subject's electronic information and recordkeeping systems (think of a system as a contained entity such as a laptop, desktop, and/or a web based environment managed by an outside entity in which you create, manage, store documents and files, etc.) and outline and describe the records series each contains.
    - NOTE: In describing these information and recordkeeping systems make sure to include a note about the hardware (computers, external hard drives, servers, data centers etc.) in which the systems/records reside, describe the records environment and augment the description with screen shots and/or charts/graphs of the records environment (using a program such as JDiskReport), and quantify the volume of records for each system (can be done using a program such as Disk Inventory X) and the record types (documents, images, sound files, etc.).
    - Determine which two electronic information/recordkeeping systems will be the focus

of your investigation for this assignment (you should pick systems which either meet the definition of a recordkeeping system or that should ideally function as a recordkeeping system although they currently function more as an information system – i.e. you want to describe systems that contain records or should contain records).

- o ***For this assignment you should include ONE desktop or laptop computer AND one electronic information/recordkeeping system that takes advantage of cloud computing (for example Google Docs, Gmail, Twitter, Facebook).***
- Briefly describe the strengths and weaknesses of these 2 recordkeeping systems
- Identify and describe the legal framework that impacts your subject's daily life (as it relates to records and recordkeeping) and note any business risks associated with records and recordkeeping;
- Identify and describe any internal and external stakeholders who the subject needs to take into account in creating and maintaining their records;
  - o Make sure to also include a discussion of the risks involved if your subject fails to properly manage his/her electronic records.
- Identify and describe the social, ethical, and legal standards the community expects your subject to meet as it pertains to recordkeeping;
  - o NOTE: These requirements should relate to the creation, retention, disposal, access, content, form, quality of records etc. As there are few legal requirements with regard to personal recordkeeping, groups will need to think more in terms of documents such as "terms of use" and other such policies and guidelines which impact recordkeeping.
- Identify and describe your subject's values, attitudes and beliefs that are of relevance to recordkeeping;
- Identify, describe, and analyze factors affecting their recordkeeping practices.

B. Analyses of Business Activity

The second part of DIRKS is designed to help you develop a conceptual model of what your subject does and how they do it by examining their functions, activities, transactions/processes and by then linking this analysis to the actual records they create. In this second part of the report the following narrative sections should be included:

- Drawing from Step A, identify and describe in more detail the work performed by your subject;
- Taking both a top-down approach (hierarchical analysis) and a bottom-up approach (process analysis) identify and describe your subject's functions, activities, transactions, and the associated record series in a functions source document;

- o the broad *functions* your subject undertakes to support their goals and strategies (think of this in terms of the roles or functions they perform: citizen, consumer, employee, social being etc.)
  - o the *activities* that contribute to the fulfillment of these functions
  - o the record series that make up these activities with a note about the date ranges of the records, the file format, and location in which they occur
  - o the groups of recurring *transactions or processes* that make up each of these records series
  - o NOTE: Only include those functions, activities, and record series that relate to the two electronic recordkeeping systems that form the core of your DIRKS assignment.
  - o NOTE: Pay particular attention to how you name the functions, activities, and record series. Make sure that all names are clear and unambiguous. Names for functions can often be created by inverting transitive verbs e.g. Managing Human Resources – Human Resources Management. At lower levels, the verbs should be present (Attending Class etc.).
    - ▪ Make sure to tie functions, activities, and series to relevant stakeholders and assess the risks associated with each function.
- Develop a business classification scheme (BCS) based on a hierarchy of functions, activities, and record series and include it in this section;
- Extend the BCS by:
  - o Linking the activities to actual named record series (will verify that your top down approach is correct)
  - o Documenting the format of these records (pdf, word etc.) and the location of the records (Gmail, laptop)
- Describe how you validated the BCS with your subject.

C. Identification of Recordkeeping Requirements

The purpose of Step C is to identify and record your subject's requirements to make and keep *evidence* of his/her activities and to document these requirements in a structured format. In this third part of the report, the following narrative sections should be included:

- Identify and describe regulatory, business and community requirements for recordkeeping;
- Describe whether these requirements relate to the creation, retention, disposal, access, content, form, quality of records etc.;
- Document these identified requirements in a manner suitable for reference purposes (you may want to extend the 'functions source document' or create a new table or template);
- Determine and document which of the identified requirements will be met – involves an

element of risk assessment with regard to recordkeeping (in earlier steps you were evaluating the risk of particular functions and activities).

- Finish this section by creating a functions based records disposal authority that builds from the business classification scheme.
    - o NOTE: In effect the business classification scheme created in step B, along with the recordkeeping requirements identified in step C, should be used to extend the Business Classification Scheme to include a column for recordkeeping requirements relating to retention, and the source of disposition requirements, etc.

D. Assessment of Existing Electronic Systems

The purpose of Step D is to survey your subject's existing electronic information /recordkeeping systems to measure the extent to which they provide evidence of activities, or have the required functionality to do this. In this fourth part of the report the following narrative sections should be included:

- Drawing from Step A, identify and describe existing electronic information and recordkeeping systems being used by your subject. This section should expand on findings from Step A and focus particularly on the two systems selected for this assignment;
    - o Make sure to describe the technical specifications for the systems, people who use the systems, the people who manage the systems, policies governing the use of the systems, rules and procedures on operating these systems, and any tools associated with these systems. This analysis should be focused on the records and recordkeeping implications of the above.
- Analyze whether your subject's prioritized recordkeeping requirements are being met by these two electronic information/recordkeeping systems. Their requirements should be thought of in terms of the functionality of the system and the ability to create, capture, and manage records. The benchmark to use here is:
    - o *Characteristics of Systems that Keep Good Records*
        - ▪ Records that are authentic, reliable, complete, unaltered, usable, system integrity etc., and
        - ▪ The recordkeeping processes that need to form part of the system (capture, registration, classification and indexing, access and security, appraisal, storage, use and tracking, and disposal) [these are your endorsed recordkeeping requirements from Step C].
- Describe whether these current systems have the capacity to meet them (by measuring the 'gap' between 'what you have' and 'what you want'); and
- Describe the strengths and weaknesses of existing information and records management practices. This can form the basis for subsequent design or redesign of systems, policies

or procedures (Steps E and F).

E. Strategies for Recordkeeping

The purpose of Step E is to determine the most appropriate policies, practices, standards, tools and other tactics that your subject should adopt to remedy weaknesses identified in Step D and ensure that they meet recordkeeping requirements identified in Step C. In this fifth part of the report the following narrative sections should be included:

- Describe the broad range of tactics available (see below) to satisfy electronic recordkeeping requirements for each system;
    - Policy tactics
    - Design based tactics
    - Implementation specific tactics
    - Standards development and compliance tactics
- Identify and describe appropriate tactics to satisfy your subject's electronic recordkeeping requirements for each system, making sure to link these tactics to the two sets of characteristics of good recordkeeping: the recordkeeping aims and recordkeeping processes;
- Assess and describe factors that may support or inhibit the adoption of these tactics (e.g. culture, existing systems and technological environment, risks in failing to satisfy specific requirements);
    - Make sure to confirm that all weaknesses or gaps identified in Step D are covered, and that the tactics do not undermine existing strengths in recordkeeping practices.
- Describe an overall design strategy to bring the tactics to fruition for each system.

F. Design of a Recordkeeping System

In lieu of the official DIRKS Step F, the person(s) completing this step should draw from all the work the group has done to date, class handouts and presentations, the InterPARES "*Creator Guidelines: Making and Maintaining Digital Materials: Guidelines for Individuals*" (http://www.interpares.org/public_documents/ip2%28pub%29creator_guidelines_booklet.pdf) and the PARADIGM "*Guidelines for Creators of Personal Digital Archives*" (http://www.paradigm.ac.uk/guidanceforcreators/guidance-for-creators-of-personal-digital-archives.pdf) as the inspiration and as the basis for creating recordkeeping guidelines for both recordkeeping systems.

Appendix B: GROUND RULES FOR DIRKS ASSIGNMENT

This "DIRKS code of conduct" answers the question: "how do we want to work together as a team in order to finish this assignment in a productive and competent manner?"

Objective Statements: gain firsthand experience of designing an effective electronic record keeping system, produce a report that satisfies the requirements of the assignment, keep the project in perspective and ensure that the process is enjoyable, use the assignment as a way to learn about records management and develop new understanding of how computer hardware and software work, and use the assignment as a way to learn how to work more effectively as part of a team.

Values and Principles: be committed to participating in the assignment and supporting group decisions, respect diversity of opinion, act fairly and in good faith, be resourceful and creative, learn a lot, and have fun.

Group Process: work will be allocated fairly and each person will be expected to take responsibility for at least two of the DIRKS steps, in allocating work people will be given the opportunity to learn new skills and also to showcase skills and expertise they already have, an effort will be made to come to a consensus on issues, disagreements will be handled by a majority vote, quality control of work will take place as a three part process (self, peer review and editorial review), collection and sharing of assigned work will take place in a timely manner, it is the responsibility of the individual to inform the group immediately if problems arise with assigned tasks.

Attendance: meetings will be scheduled according to the needs of all group members, weekly meetings will be held in person or remotely when necessary, meetings will start and finish on time, any absences from meetings must be explained in advance and, except in exceptional circumstances, no more than one absence is permitted over the course of the semester, everyone will come to meetings with their work completed.

Enforcement: the ground rules belong to the group and will be posted to the course website so that they are available to everyone in the class, if the group is having problems all members will immediately talk things over together, the group will use its own judgment and this code of conduct to resolve the issue, if the matter cannot be resolved by the group Ciaran will be asked for advice, all members of the group will be held accountable for their performance over the course of the semester and will be asked to write a memo at the end of the semester outlining what they contributed to this group assignment.