INF 389E: Introduction to Records Management, Spring 2020
Unique Number: 27754

INSTRUCTOR
Professor: Ciaran B. Trace
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Phone: 512-232-3508
Office: 5.412
Office Hours: Tuesdays, 2:30pm to 4:30pm

COURSE MEETING TIMES
Wednesday, 9am to noon, UTA 1.204

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 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 global policies and trends that impact information governance and the records and information 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 and information 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 24/7/365 through the help menu in the lower left corner of the Canvas interface.

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)

In this assignment, you will work in teams to use the DIRKS methodology to examine, document, and suggest improvements for personal electronic record keeping systems 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, each group should document their research in a structured fashion to help in writing the final report. As the DIRKS methodology has been created as a tool for organizations and not individuals, each team will need a certain amount of flexibility and creative thinking to adapt these steps for the 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 5
- Analysis of business activity (Step B) - week 7
- Identification of recordkeeping requirements (Step C) - week 10
- Assessment of existing systems (Step D) - week 12
- Identification of strategies for recordkeeping and Design of a recordkeeping system (modified Step E and Step F) - week 14
- Due Date for final report: Week 16

**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. **Class Attendance and 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 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 contribution to class discussions, use of the resources posted to Canvas, and engagement with the process of working on the DIRKS assignment.

**EVALUATION**

**DIRKS:** 80% (NOTE: the grade will be split between individual contributions submitted during the semester [40%] AND the final grade for the overall group project [40%])

**Class Attendance:** 10% (the grade will be calculated proportionality based on the number
of class sessions attended – including those officially excused)

**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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<tr>
<td>A</td>
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<td>A-</td>
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<tr>
<td>B+</td>
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<td>B</td>
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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%.

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**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.

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://it.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 miss a class 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 titleix@austin.utexas.edu.

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.

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/

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 https://ugs.utexas.edu/slc or call 512-471-3614.

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. https://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). https://diversity.utexas.edu/disability/about/

**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

**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, https://financials.utexas.edu/avp-campus-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.

**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 (Wednesday, January 22, 2020)**

*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/value proposition for RIM and information governance, overview of the work of records managers, RIM as a career)

**IN CLASS:** DIRKS Assignment and Formation of DIRKS groups

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

**Week Two (Wednesday, January 29, 2020)**

*The Role of Records Professionals in Society* (history of records management and the emergence of the RIM profession in the United States, changes to RIM at the federal level, rise of information governance, differences and similarities between records managers and other information professions, RIM models, professional and educational role of 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 13
(Lifelong Learning: Education, Training, and Professional Development).

- Complete sections of the online training module, Robert Smallwood, “Learning Information Governance” [1h 11m, 1 - Program Overview, 2 - Program Considerations, 3 - Program Factors, 4 - Risk Management and Assessment, 5 - Policy Areas].

**Week Three (Wednesday, February 5, 2020)**

**Analytical Tools - Project Management and Business Process Modeling** (project management definitions and terms; major tenets of managing projects successfully; role of the project manager and project team members; tools and techniques to guide planning, scheduling, budgeting, organizing and controlling of a project; project management tools including Gantt and PERT charts; RIM and business process improvement and workflow mapping)

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

- Complete the online training modules - Bonnie Biafore, “Project Management Foundations: Small Projects” [1h 20m] and Chris Croft, “Top 10 Project Management Mistakes – and How to Avoid Them” [2h 11m]
- Complete the online training module - Haydn Thomas, “Business Analysis Foundations: Business Process Modeling.” [1 h 20m]

**Week Four (Wednesday, February 12, 2020)**

**Running a Records and Information Management Program** (Information Governance – GARP, IGRM, Maturity Model for Information Governance; objectives and challenges for RIM programs; impact of organization culture on RIM; aligning RIM and institutional goals; change management; building successful RIM programs; components of RIM programs; placement of records management services; staffing
and RIM core competencies; professionalism - legal and ethical considerations, purpose of a code of ethics)

- ARMA, *Code of Professional Responsibility*.

**Week Five (Wednesday, February 19, 2020)**

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

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**Week Six (Wednesday, February 26, 2020)**

**Records Environment** (nature of documents/records/data and electronic/digital records, characteristics of records and recordkeeping systems, role of blockchain, concept of non-record and record copy, records creation strategies, types of information and recordkeeping systems, ERMS/EDMS/ECM systems, DoD5015.2-
STD and European Commission Modular Requirements for the Management of Electronic Records, new RIM orthodoxies)

IN CLASS: Feedback on DIRKS Step A

- Complete the online training module, Gini von Courter, “Learning SharePoint Online” [1 hr 40 min].

**Week Seven (Wednesday, March 4, 2020)**

*Capturing and Classifying Records and Documenting their Context* (metadata types, metadata as discoverable evidence, standards for recordkeeping metadata; designing taxonomies, thesauri, business classification and records classification schemes; organizing current records for retrieval - filing and indexing; architectures of paper based and electronic records systems; automatic classification)

DUE: DIRKS Step B
In class: Discussion of DIRKS Step C

- Patricia C. Franks, *Records and Information Management*, chapter 3 (Records and Information Creation/Capture, Classification, and File Plan Development) and chapter 5 (Records and Information Access, Storage, and Retrieval).
- Complete the online training module, Gary Yeoman, “Designing a SharePoint Taxonomy.” [38 min]

**Week Eight (Wednesday, March 11, 2020)**

*Legal and Regulatory Compliance and Records Retention* (quality assurance standards, professional and industry standards and codes of practice, compliance in the RIM program, legal/statutory requirements and e-discovery, litigation support,
data maps, spoliation, appraisal theory, appraisal criteria, planning and running a records survey, risk management and retention decisions, records retention/disposition programs and implementation, the 'big bucket' approach)

IN CLASS: Feedback on DIRKS Step B

- Patricia C. Franks, *Records and Information Management*, chapter 4 (Records Retention Strategies: Inventory, Appraisal, Retention, and Disposition)
- Complete the online training module, Tiffany Songvilay “SharePoint: Compliance Management.” [1h 25m]

**Week Nine (Wednesday, March 18, 2020)**

*Spring Break*

**Week Ten (Wednesday, March 25, 2020)**

*Monitoring, Auditing, and Risk Management*

DUE: DIRKS Step C

IN CLASS: Discussion of DIRKS Step D

- Patricia C. Franks, Records and Information Management, chapter 9 (Monitoring, Auditing, and Risk Management).

**Week Eleven (Wednesday, April 1, 2020)**

*Panel of Records Management Professionals – Corporate, State, City, and University*
Steven Williams, IGP, Iron Mountain, President ARMA Austin; Azure Brown, MSIS, CRM, Austin Community College District, President Elect, ARMA Austin; Wendy Scarborough, Safesite, Inc./Safeshred, Membership Co-Chair, ARMA Austin; Jenny Singer, Records Management Officer for the Texas Health and Human Services Commission (HHSC) and the Texas Department of Health Services; April Norris, Chief of Information Governance for the Information Governance and Logistical Operations Division of the Office of the Attorney General of Texas; Maryrose Hightower-Coyle, CRM, Records Management Officer and Director of Records and Information Management Services, UT Austin

Week Twelve (Wednesday, April 8, 2020)

Information Platforms - Email, Mobile Devices, Social Media, Web Resources, RIM in the Cloud, Blockchain (innovation and trend spotting, acceptable use policies for electronic communication, managing email, NARA's Capstone solution, managing IM, consumer focused and enterprise grade social media, managing web resources, records management in the cloud, blockchain)

DUE: DIRKS Step D
In class: Discussion of DIRKS Steps E & F

- 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 Thirteen (Wednesday, April 15, 2020)

Protecting and Managing the Integrity of Records (information as asset, information and system security, information security classifications, essential records, disaster planning and recovery, business continuity planning, media considerations including microfilm and digital imaging technologies)
IN CLASS: Feedback on DIRKS Step D


Week Fourteen (Wednesday, April 22, 2020)

**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 RIM perspective)

DUE: DIRKS Step E and F


Work Fifteen (Wednesday, April 29, 2020)

Work Week

IN CLASS: Feedback on DIRKS Step E and F

Week Sixteen (Wednesday, May 6, 2020)

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

DUE: Final DIRKS Document

DUE: ‘My Contribution to DIRKS’ Memo