



INF 389E: Introduction to Records Management
Unique Number: 28649

INSTRUCTOR

Professor: Ciaran B. Trace
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Office: 5.412
Office Hours: Fridays, 10 am to noon [Zoom]

COURSE MEETING TIMES

Thursdays, 3:30 pm to 6:30 pm, UTA 1.212

COURSE DESCRIPTION AND LEARNING OUTCOMES

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). This course introduces the principles and practices involved in managing digital records and information in private and public-sector organizations.

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

- Recognize national and global policies, trends, and circumstances that impact information governance and the records and information management profession.
- Identify and analyze the impact (practical, economic, and social) that records management and information governance have in organizational environments and government settings, with a focus on assessing the state of RIM in Texas.
- Articulate the history of the RIM profession and assess the traditional and emerging roles and responsibilities of the records and information manager.
- Distinguish between records and information managers and other information professionals and establish a vision of what a career in RIM entails.
- Identify the practical, legal, and ethical issues involved in implementing a records management program across the records lifecycle.
- Articulate and justify policies and procedures for managing active and inactive records (with an emphasis on managing structured and unstructured data).
- Explain the concepts, tools, processes, and national and international standards that facilitate a career in RIM, enabling records managers to carry out their job competently and comprehensively.
- Demonstrate skills in research and analysis and effective communication and collaboration (e.g., the ability to use narratives to argue points and illustrate

perspectives, conduct in-depth interviewing, and work with others professionally and productively).

CLASS RESOURCES

Required Textbook

- Patricia C. Franks, *Records and Information Management: Second Edition* (Neal-Schuman, 2018). Available through the Longhorn Textbook Access (LTA) program and the UT Co-op.

Use of Canvas in Class

[Canvas](#) - a Web-based course management system with password-protected access – will be used to distribute course materials, communicate and collaborate, post announcements, and submit assignments. You can find technical support through the Canvas Resource Center.

Use of Zoom

If classes need to move online, sessions will be delivered in a synchronous remote/web-based format using the conferencing software Zoom. As necessary, students will be provided with (1) the information to access remote sessions in a reliable way and (2) a link to an invitation to the class Zoom meeting, placed under the Zoom page on Canvas and populated in the Canvas calendar. Please note that Zoom will also be the method for participating in advising sessions with the instructor this term.

Students will need to determine in advance how best to connect to a Zoom call - using a computer with audio and video (ideal), connecting a computer for video and a phone for audio, or connecting by phone using audio only (in the case of broken/unreliable internet connection). Further advice about using Zoom (and associated technology requirements) is available on Canvas.

Any class recordings are reserved only for students in this class for educational purposes and are protected under FERPA. The recordings should not be shared outside the class in any form. Violation of this restriction by a student could lead to Student Misconduct proceedings.

COURSE REQUIREMENTS AND ASSIGNMENTS

Weekly Rhythm for Engaging with Assignments

| <i>Monday-Friday</i> | <i>Thursday (3:30 pm-6:30 pm)</i> | <i>Friday - Wednesdays</i> |
|----------------------------|---------------------------------------|--|
| <i>Work on RIM Project</i> | <i>Class period</i> | <i>Complete assigned readings for the following week AND complete class posting on RIM in the news [due by 5 pm on Wednesdays]</i> |

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 the discussion. The graded assignments for the semester are as follows:

1. Report on Records Management in the State of Texas [Due Date: Draft – Week 10, Final Report - Week 13]

Students will work in groups to write an informational report. The purpose is to provide an overview of and insight into records management at the state level in Texas that articulates how effective efforts have been to date along with opportunities for improvement. The presumed readers for the report are those with an interest in, or who can affect or be affected by any aspect of RIM policies and practices in Texas. These stakeholders include RIM professionals, key personnel in state agencies, the legislature, etc. These reports should be no more than 25-30 pages. Each group will provide a verbal update on their progress on this assignment in week 7 of class.

| Report Format | |
|----------------------|---|
| Title Page | Includes an informative title that indicates the nature and focus of the report and includes the date and author names. |
| Table of Contents | Lists all first- and second-level section headings and includes the titles of all appendices. |
| Executive Summary | The executive summary contains the key parts of the report. Begin by outlining the problem space [look for instances where the state expresses an interest in things that resonate with RIM – e.g., government transparency, information/data governance and stewardship, information security/retention/accessibility], detail it and explain how addressing the problem introduces an improvement or benefit [this links the problem to the purpose of the report - to provide an overview of and insight into RIM in the |

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| | state of Texas with a goal of articulating opportunities for improvement]. Then move on to outline the major findings (how effective efforts have been [or not] to date – this draws from the evaluative component that forms the main body or section of the report). And finish by describing your conclusions in the form of concrete recommendations. |
| Introduction | Introduces the report and its purpose [what it hopes to accomplish]. Subsections include objectives of the report, scope, and background information including (1) how RIM contributes to and aligns with state priorities, and (2) the historical context of RIM in Texas. |
| Body | Describes the issue, the facts, and data obtained and interprets and discusses key findings. The body of the report should examine the RIM policies and procedures that are in place for the three branches of state government – judicial, executive, and legislative. The report should include a discussion of RIM enabling policies and legal/statutory requirements, RIM stakeholders, RIM infrastructure (organizational, physical, and technical) and resources, and initiatives being taken to manage various types of records (including what is being done to manage born-digital records), etc. In the process, attention should be paid to key drivers such as economic and political pressures, resource availability, technological developments, user expectations, legal and compliance mandates, etc. |
| Conclusion | Recommends a course of action. Explains what the findings discussed in the body of the report mean and what conclusions can be drawn. Provides suggestions on how the data can be used to improve aspects of RIM in the state of Texas and what opportunities could be embraced to do so. |
| References | E.g., <i>2021 The State of State Records: A Statistical Report on State Archives and Records Management Programs in the United States</i> ; <i>Records Management Interagency Coordinating Council Biennial Report 2019 – 2020</i> . |
| Appendices | |

Grading Criteria for the Report Assignment

- Depth of analysis (well informed, use of relevant facts/evidence/sources, analysis is clear and logical)

- Research documented in a thorough, efficient, and structured fashion with good use of visuals and tables, as necessary.
- Writing style and mechanics (attention paid to the audience for the report, clarity of expression, good sentence structure, grammar, spelling, punctuation, etc.).

Evaluation: Giving appropriate credit for individual contributions 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. The memo should reflect on how the group performed in areas including communication, interpersonal dynamics and cooperation, decision-making, focus and commitment, accountability, etc. 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 and finish with a statement about the lessons learned in the context of this project. As appropriate, these observations will be considered in assigning the class participation grade.

2. Records Management in the News [Due Dates - weeks 3-7, 9, 11-12]

Working individually, students will create discussion posts that focus on a current story or commentary in a reputable news source or professional publication that deals with records and information management issues. Topics can include artificial intelligence, big data, blockchain, business continuity, business intelligence, change management, cloud computing, compliance, content management, data analytics, data governance, data storage, digital preservation, discovery/eDiscovery, electronic records management, email management, information ethics, information governance, information privacy, information security, legal, physical records management, robotic process automation, the role of records in society, records retention, and vital records.

Each discussion post should include:

- The topic of the post (e.g., blockchain, cloud computing, records retention, etc.)
- The title, author, date, source, and a link to the news story/commentary. An appropriate image from the news story/commentary should also be included where available.
- A 200-word summary of the content [the first sentence of the summary should

describe why you chose the news story/commentary] and a 300-word analysis which uses appropriate RIM terminology to discuss its import vis-a-vis the class themes, readings, and discussions.

3. Class Attendance [graded weekly]

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 (before 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 the instructor before the next week's class.

4. An essay of 2,000-2,500 words on a day in the life and work of a Records and Information Manager [Due Date: Week 8]

The purpose of this assignment is two-fold: (1) to give you insight into the job and challenges and opportunities faced by contemporary records and information managers, (2) and to allow you to interview a RIM professional working in an area of the field about which you would like to learn.

For this assignment, select a practicing RIM professional (one with whom you are not in contact by virtue of your job or prior acquaintance). By monitoring RIM listservs, following records and information managers on social media, looking at the speaker list for recent RIM conferences, and looking at those serving in leadership roles in RIM organizations, you can find RIM professionals to contact. The following are matters about which you should converse with your RIM professional. You are not restricted to this list and should learn all you can about your RIM professional's experience and view of the needs and opportunities in the RIM field more broadly.

- The person's career trajectory to date (educational and professional background).
- How they discovered their interest and passion for RIM work.
- Comparison of and contrast between work in the different RIM environments (for example academic, government, business, private organization) in which the RIM professional has worked, or with which they are familiar.

- What their current work culture is like. How the RIM professional starts and spends their day, that is, the different principal duties/routines the records and information manager engage in and in which they invest most of their energies.
- The skills and knowledge that are most essential to be effective in their job.
- What new things the RIM professional is currently learning at work.
- Principal issues/problems/challenges with which the RIM professionals are grappling and how they are solving, or proposing to solve, these problems.
- Principal sources on which the RIM professional relies for information to help resolve matters.
- The RIM professional's involvement in professional affairs—in what ways, how much time is invested in this, how important is it to the records and information manager. Which professional organizations associated with this career students should join.
- How they see the field changing in the next 5 to 10 years.
- The most useful advice they received during their career.
- How the RIM professional answers the inevitable question: "What does a records and information manager do?"

The assignment will be graded based on

- Structure and coherence of the narrative
- Depth of analysis and insight (ability to reflect/engage with what you learned from the interview – evidence of new knowledge gained in the interview process)
- Style (clarity of expression, sentence structure, grammar, spelling, punctuation)

EVALUATION

Report: 65% [20% for the draft, 30% for the final report, 15% individual contribution]

Records Management in the News: 10%

Class Attendance: 15% (attendance will be calculated proportionality based on the number of class sessions attended – including those officially excused)

Day-in-the-Life: 10%

I will use the following schedule as the basis for calculating grades:

| Grade | Cutoff |
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| A | 95% |
| A- | 89% |
| B+ | 84% |
| B | 79% |

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| B- | 74% |
| C+ | 69% |
| C | 64% |
| C- | 60% |
| F | <60% |

Late Work: Please communicate with me beforehand if you are having problems keeping to the schedule for turning in assignments. Except in the case of an excused absence, work submitted after an assigned deadline will incur the loss of half a letter grade per day late - e.g., A becomes A-, A- becomes B+, and so on. Assignments will generally not be accepted more than 6 days past the due date.

POLICIES AND DISCLOSURES

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 the 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 basic expectation that is further reinforced by the University's Honor Code. At a minimum, you should complete any assignments 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 observe the standards of your academic discipline.
- 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.

Sharing of Course Materials is Prohibited

No materials used in this class, including, but not limited to, lecture hand-outs, videos, assessments (e.g., papers, projects, homework assignments), in-class materials, review sheets, and additional problem sets, may be shared online or with anyone

outside of the class without explicit, written permission of the instructor. The unauthorized sharing of materials promotes cheating. The University is aware of the sites used for sharing materials, and any materials found online that are associated with you, or any suspected unauthorized sharing of materials, will be reported to Student Conduct and Academic Integrity in the Office of the Dean of Students. These reports can result in sanctions, including failure of the course.

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.

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 before the date of observance of a religious holy day. If you must miss a class to observe a religious holy day, I will allow you 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 of Inclusion and Equity](#).

Title IX Reporting

Beginning January 1, 2020, Texas Senate Bill 212 requires all employees of Texas universities, including faculty, to report any information to the Title IX Office regarding sexual harassment, sexual assault, dating violence, and stalking that is disclosed to

them. Texas law requires that all employees who witness or receive any information of this type (including, but not limited to, writing assignments, class discussions, or one-on-one conversations) must report it. If you would like to speak with someone who can provide support or remedies without making an official report to the university, please email advocate@austin.utexas.edu. For more information about reporting options and resources, visit <http://www.titleix.utexas.edu/>, contact the Title IX Office via email at titleix@austin.utexas.edu, or call 512-471-0419. Although graduate teaching and research assistants are not subject to Texas Senate Bill 212, they are still mandatory reporters under Federal Title IX laws and are required to report a wide range of behaviors we refer to as sexual misconduct, including the types of sexual misconduct covered under Texas Senate Bill 212. The Title IX office has developed supportive ways to respond to a survivor and compiled campus resources to support survivors.

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 the [Title IX Office](#) or email titleix@austin.utexas.edu.

Campus COVID-19 Guidelines and Resources

While I will post information related to the contemporary situation on campus, you are encouraged to stay up to date on the latest news as related to the student experience. See Protect Texas Together, <https://protect.utexas.edu>.

Important Safety Information

If you have concerns about the safety or behavior of fellow students, TAs or professors, contact BCCAL (the Behavior Concerns and COVID-19 Advice Line) at <https://safety.utexas.edu/behavior-concerns-advice-line> or by calling 512-232-5050. Confidentiality will be maintained as much as possible, however, the university may be required to release some information to appropriate parties.

The following are recommendations regarding emergency evacuation from the [Office of Campus Safety and Security](#), 512-471-5767.

- Students should sign up for Campus Emergency Text Alerts at the page linked above.
- Occupants of buildings on The University of Texas at Austin campus must 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.
- For more information, please visit [emergency preparedness](#).

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.

Accessibility

The university is committed to creating an accessible and inclusive learning environment consistent with university policy and federal and state law. Please let me know if you experience any barriers to learning so I can work with you to ensure you have an equal opportunity to participate fully in this course. If you are a student with a disability, or think you may have a disability, and need accommodations please contact Services for Students with Disabilities (SSD). Please refer to SSD's website for contact

and more information: <http://diversity.utexas.edu/disability/>. If you are already registered with SSD, please deliver your Accommodation Letter to me as early as possible in the semester so we can discuss your approved accommodations and needs in this course.

[Counseling and Mental Health Center](#)

There are many helpful counseling and mental health resources available on campus. If you or anyone you know is experiencing symptoms of stress, anxiety, depression, academic concerns, loneliness, difficulty sleeping, or any other concern impacting your wellbeing and/or your performance in this course— you are strongly encouraged to reach out for help. If immediate mental health assistance is needed, call the Counseling and Mental Health Center (CMHC) at 512-471-3515 or you may also contact Bryce Moffett, LCSW (iSchool CARE counselor) at 512-232-2983. Outside CMHC business hours (8 a.m.-5 p.m., Monday-Friday), contact the CMHC 24/7 Crisis Line at 512-471-2255.

[University Health Services \(UHS\)](#)

Your physical health and wellness are a priority. University Health Services is an on-campus high-quality medical facility providing care to all UT students. Services offered by UHS include general medicine, urgent care, a 24/7 nurse advice line, women's health, sports medicine, physical therapy, lab and radiology services, COVID-19 testing and vaccinations, and much more. For additional information, visit <https://healthyhorns.utexas.edu> or call 512-471-4955.

[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 retreats.

[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.

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.

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 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 concerning 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.

Land Acknowledgement

We would like to acknowledge that we are meeting on Indigenous land. Moreover, we would like to acknowledge and pay our respects to the Carrizo & Comecrudo, Coahuiltecan, Caddo, Tonkawa, Comanche, Lipan Apache, Alabama-Coushatta, Kickapoo, Tigua Pueblo, and all the American Indian and Indigenous Peoples and communities who have been or have become a part of these lands and territories in Texas.

COURSE SCHEDULE

Week One (Thursday, August 25, 2022)

Introductions, Course Objectives, Assignments and Expectations (the conduct of work, structured and unstructured information and the differences in how they are managed - data/records/information, data lineages, the 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: Discussion of report assignment and formation of groups

- ISO 15489-1:2016, *Information and Documentation - Records Management*.
- AIIM, *How to Become a Modern Records Manager* (2019).
- ISO 24143:2022, Information and documentation — Information Governance — Concept and principles.
- Complete the online training module - Chris Croft, *Teamwork Foundations* [1h 25m].
- Resources
 - ISO 30300: 2020, *Information and Documentation - Records Management – Core Concepts and Vocabulary* [use as an ongoing class resource]
 - ARMA, AIIM, and the Institute of Certified Records Managers.

Week Two (Thursday, September 1, 2022)

The Role of Record and Information Management 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 and information managers and other information professions, RIM models, the professional and educational role of RIM and IG organizations)

In Class: Kickoff meetings and modeling a weekly project check-in meeting

- 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*).
- Julie Brooks, "Perspectives on the Relationship between Records Management and Information Governance," *Records Management Journal* 29 (1/2) (2019): 5-17.
- Complete the online training module - Robert Smallwood, *Learning Information*

Governance [1h 11m].

Week Three (Thursday, September 8, 2022)

Running a Records and Information Management Program (Information Governance and the purpose of GARP, IGRM, and the Maturity Model for Information Governance; monitoring, auditing, and risk management; objectives and challenges for RIM programs; the 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)

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| DUE: <i>Records Management in the News</i> |
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| In Class: Appreciating difference, supporting team members |
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- Patricia C. Franks, *Records and Information Management*, chapter 14 (*From Records Management to Information Governance: An Evolution*) and chapter 9 (*Monitoring, Auditing, and Risk Management*).
- ARMA International, *GARP: Generally Accepted Recordkeeping Principles®* (2009) and ARMA International, *Information Governance Maturity Model*.
- ISO 31000:2018, *Risk Management - Guidelines*.

Week Four (Thursday, September 15, 2022)

Analytical Tools - Project Management and Business Process Modeling (project management definitions and terms; major tenets of managing projects successfully; the 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)

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| DUE: <i>Records Management in the News</i> |
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| In Class: Finding data and making data reporting more interesting |
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- ISO 21502:2020, *Guidance on Project Management*.
- ISO 26122:2008, *Information and Documentation - Work Process Analysis for Records*.
- State Records NSW - NSW Government, *DIRKS Manual*.
- Complete the online training module - Bonnie Biafore, *Project Management Foundations: Small Projects* [1h 29m] **OR** 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* [1h 18m].

Week Five (Thursday, September 22, 2022)

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

Week Six (Thursday, September 29, 2022)

Records Environment (nature of documents/records/data and electronic/digital records; characteristics of records and recordkeeping systems; the role of blockchain; the concept of non-record and record copy; records creation strategies; types of information and recordkeeping systems; ERMS/EDMS/ECM systems; DoD5015.2-STD, European Commission Modular Requirements for the Management of Electronic Records, and ISO 16175; new RIM orthodoxies)

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| DUE: <i>Records Management in the News</i> |
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| In Class: Writing the introduction, main body of the report, and conclusion |
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- Patricia C. Franks, *Records and Information Management*, chapter 6 (*Electronic Records and Electronic Records Management Systems*).
- MoREQ2010 - European Commission *Modular Requirements for the Management*

of Electronic Records, 2011.

- ISO 16175-1:2020: Information and documentation — Processes and functional requirements for software for managing records — Part 1: Functional requirements and associated guidance for any applications that manage digital records.
- ISO 16175-2:2020: Information and documentation — Processes and functional requirements for software for managing records — Part 2: Guidance for selecting, designing, implementing, and maintaining software for managing records.
- Complete the online training module - Gini von Courter, *SharePoint Online Essential Training: The Basics* [1h 59m].

Week Seven (Thursday, October 6, 2022)

Capturing and Classifying Records and Documenting their Context

(sources of content to be captured; metadata strategies - metadata types, metadata as discoverable evidence, standards for recordkeeping metadata; information architecture and effective information management; designing taxonomies, thesauri, business classification, and records classification schemes and their use in support of classification and search; organizing current records for retrieval - filing and indexing; architectures of paper-based and electronic records systems; automatic classification)

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| DUE: <i>Records Management in the News</i> |
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| In Class: Status reports [updates on progress] |
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- 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*).
- ISO 23081-1:2017, *Information and Documentation, Records Management Processes, Metadata for Records, Part 1, Principles*.
- Tasmanian Archive and Heritage Office, *Information Management Advice: Information Classification Tools* (2014).

Week Eight (Thursday, October 13, 2022)

Work Week

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| DUE: <i>Day-in-the-Life</i> |
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| In Class: Work on RIM report |
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Week Nine (Thursday, October 20, 2022)

Information Platforms and Innovations (innovation and trend spotting, records

management in the cloud, blockchain, AI, robotic process automation, managing email, NARA's Capstone solution, managing electronic messages, consumer-focused and enterprise-grade social media, managing web resources, RIM implications of virtual meeting platforms)

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| DUE: <i>Records Management in the News</i> |
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| In Class: Work on RIM report |
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- Patricia C. Franks, *Records and Information Management*, chapter 7 (*Developing and Emerging Technologies and Records Management*).
- NARA, *Cognitive Technologies White Paper: Records Management Implications for Internet of Things, Robotic Process Automation, Machine Learning, and Artificial Intelligence* (2020).
- Complete section one of the online training module - David Linthicum, "Learning Cloud Computing: Core Concepts" [Cloud Computing Basics].
- Julia McLeod and Brianna Gormly, "Using the Cloud for Records Storage: Issues of Trust," *Archival Science* 17 (2017): 349–370.
- ISO 22428-1:2020: Managing Records in Cloud Computing Environments - Part 1: Issues and Concerns.

Week Ten (Thursday, October 27, 2022)

Legal and Regulatory Compliance and Records and Data Retention (quality assurance standards, professional and industry standards and codes of practice, compliance in the RIM program, data privacy [GDPR, CCPA], 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, and records retention/disposition programs and implementation, the 'big bucket' approach, next-generation data retention schedules)

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| DUE: <i>Draft RIM Report</i> |
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| In Class: Guest Speaker - Susan Cisco, Records and Information Governance Consultant |
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- Patricia C. Franks, *Records and Information Management*, chapter 4 (*Records Retention Strategies: Inventory, Appraisal, Retention, and Disposition*)
- ISO/TR 21946:2018: *Information and documentation - Appraisal for Managing Records*.
- William Saffady, *Records Management Experience with Big Bucket Retention: A*

Status Report (2018).

- Complete the online training module – Nishant Bhajaria, “Top Privacy Concerns for Small Businesses” [1h 27m].
- Access, *Playbook for Responding to Pandemic-Related Records: A Methodology for Analysis & Ingestion of New Record Types* (2020).

Week Eleven (Thursday, November 3, 2022)

Protecting and Managing the Integrity of Records (information as an asset, information and system security, information security classifications, essential records, disaster planning and recovery, business continuity planning, file conversion, and media considerations including microfilm and digital imaging technologies)

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| DUE: <i>Records Management in the News</i> |
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| In Class: Work on RIM report |
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- 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*).
- ANSI/ARMA 5-2003. *Vital Records: Identifying, Managing, and Recovering Business-Critical Records* (2003).
- 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.

Week Twelve (Thursday, November 10, 2022)

Storing and Preserving Records (determining appropriate storage based on business needs, records centers, corporate archives, the difference between enterprise storage and digital preservation, information lifecycle management (ILM), nature of digital curation and preservation and its importance from a RIM perspective)

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| DUE: <i>Records Management in the News [re-post your favorite RIM in the news story from the semester]</i> |
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| In Class: Work on RIM report |
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- 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*).
- The Digital Preservation Coalition (DPC) and UNESCO Memory of the World

PERSIST Project (UNESCO/MoW/PERSIST) [Executive Guide on Digital Preservation](#).

- Christopher Hives, "History, Business Records, and Corporate Archives in North America," *Archivaria* 22 (1986): 40-57.
- ISO 16363: 2012, *Audit and Certification of Trustworthy Digital Repositories*.

Week Thirteen (Thursday, November 17, 2022)

Ethics, Professionalism, and the RIM Profession (professionalism - legal and ethical considerations associated with a comprehensive information governance program, the purpose of a code of ethics, the professional IG and RIM practitioner)

DUE: *Final Report Document*

- ARMA International, *Records and Information Management (RIM) Core Competencies, Second Edition* (2017).
- ARMA, *Code of Professional Responsibility*.
- Complete the online training module - Gemma Leigh Roberts "Developing Your Professional Image in a New Job." [56m]
- Bernice Ibiricu and Marja Leena van der Made, "Ethics by Design: A Code of Ethics for the Digital Age," *Records Management Journal* 30 (3) (2020): 395-414.
- JDSupra, "*Delete Data, Save the Environment*" (2022).

Work Fourteen (Thursday, November 24, 2022)

Fall Break

Week Fifteen (Thursday, December 1, 2022)

Course Wrap-up

DUE: *Confidential Memo*

GROUND RULES FOR REPORT ASSIGNMENT

This "RIM Report code of conduct" answers the question: *how do we work together as a team to finish this assignment productively and capably?*

Objectives: gain firsthand knowledge of RIM in the state of Texas, produce a report that satisfies the requirements of the assignment, keep the project in perspective, use the assignment to learn about records and information management, and develop a new understanding of how born-digital records are being handled at the state level, and use the assignment to learn effective teamwork skills.

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

Group Process: work will be allocated fairly, in allocating work people will be given the opportunity to learn new skills and also to showcase existing skills and expertise, 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 promptly, 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 group members, 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 semester, everyone will come to meetings with their work completed.

Accountability: the ground rules belong to the group and will be posted to Canvas so that they are available to the class. If the group is having problems all members will immediately talk things over together. The group will use its 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 semester and will be asked to write a memo at the end of the semester outlining what they contributed to this group assignment.