University of Texas at Austin
School of Information

Spring 2013
INF 389E Introduction to Records Management

Instructor: Margaret Hermesmeyer, MLIS, CRM

Course Unique Number: 28510
Course Meeting Time: Monday 6:00PM to 9:00PM
Class Room: UTA 1.212

Office Number: UTA 5.456
Office Hours: By appointment
Email: margaret@ischool.utexas.edu

Description
Systems for controlling recorded information in an organizational setting.
Three lecture hours a week for one semester.

Course Objectives
- Articulate what records management is, its purpose and the benefits it provides to an organization
- Introduce the core principles of records and information management
- Introduce students to the records management industry standards, best practices, and professional resources
- To familiarize students with the evolving role of records management within an organization
- Prepare students to apply records management principles, standards, and best practices

Text
Saffady, W. (2011). *Records and Information Management: Fundamentals of Professional Practice*. (2d. ed.). Overland Park, KS: ARMA International. 250 pp. Print ISBN:9781936654000. This book is available through the ARMA International online Bookstore at www.arma.org. (click on the "Bookstore" tab at the top of the page and select product search.) The price is $60 for non-ARMA members and $40 for ARMA members.

Note: ARMA International offers discounts to its members on bookstore items. ARMA International is one of the premier professional associations for records and information management. ARMA International publishes the award-winning *Information Management* magazine. The association develops and publishes standard and guidelines related to records management. For more information about ARMA International membership please visit http://www.arma.org/join/benefits.cfm.

Assignments
Class participation

       Participation in class discussions related to the chapters in *Records and Information Management: Fundamental of Professional Practice*, 2nd Ed, and required readings. (5% of course grade)

       Lead a class discussion on one chapter from *Records and Information Management: Fundamental of Professional Practice*, 2nd Ed, (5% of course grade)

       Consistent, positive and constructive class participation (10% of course grade)

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Assignments (Continued)

Current Topic Presentation and Facilitate Class Discussion on the topic

Each student is to select a current records management topic to present to the class from the list of topic areas below. Other topics may be submitted to the instructor for approval. Visual aids are not required for the presentation, but are recommended for superior work.

The current topic presentation (30% of course grade) must be at least 10 minutes but no longer than 15 minutes and should:

- Provide the class with a brief introduction to the topic
- Provide the scope of the presentation and discussion
- Describe the issues and challenges related to the topic within the scope of the presentation
- Present current perspectives and methods for addressing the issues and challenges
- Provide examples of standards, best practices, or other resources that may provide guidance related to the topic

The current topic discussion will be facilitated by the student making the presentation and be based on the current topic presented. The student will provide an article citation for an article related to the current topic for the class to read prior to the presentation. The article citation is due 14 days prior to the presentation date. The article citation should be sent by email to margaret@ischool.utexas.edu. The discussion should last at least 5 minutes but no longer than 10 minutes. (10% of course grade)

As the discussion facilitator, the student should:

1. Discuss how the discussion session will be conducted
2. Facilitate discussion among class members, for example:
   - Provide the opportunity for the class to identify and discuss additional issues or challenges related to the topic, or
   - Provide the opportunity for the class to identify and discuss additional solutions or perspectives for addressing the issues or challenges, or
   - Provide the opportunity for the class to identify and discuss additional resources that might address the topic, or if there are no volunteers you may
   - Ask the class questions about the topic

These online resources provide guidance for facilitating discussions:

- "How to Facilitate Discussions," University of California San Diego, accessed December 29, 2012, http://blink.ucsd.edu/HR/training/instructor/tools/discussions.html#6.-Summarize-the-results.
- "Ten Tips When Facilitating Discussion," accessed December 29, 2012, http://brown.edu/Administration/Sheridan_Center/teaching/documents/10tipsfacilitatingdiscussion.pdf

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- "All About Facilitation, Group Skills and Group Performance Management," Free Management Library, accessed December 29, 2012, http://managementhelp.org/groups/index.htm
- "Facilitating Discussion: A Brief Guide," Cornell University, accessed December 29, 2012, http://www.arts.cornell.edu/knight_institute/publicationsprizes/Facilitating_Discussion06.pdf

Current Topic Examples
- Cloud service opportunities and risks for RIM
- E-Discovery and cloud services
- Information governance
- Metadata sets to maintain for records
- Pro's and Con's of Microsoft's SharePoint's 2010 expanded records management capabilities
- Issues related to long term retention of digital information
- Role of RIM in continuity of operations plan
- Role of RIM in disaster recovery plan
- Content management systems
- Compliancy requirements for business records
- Compliancy requirements for government records
- Compliancy requirements for nonprofit organizations
- Impact of Federal Rules of Civil Procedure (FRCP) on RIM
- Social Media issues related to RIM
- Impact of where records management is placed within the organization's structure
- GARP Maturity Model as a RIM tool for improvement
- Issues related to properly applying disposition holds
- Role of RIM in information governance
- Dodd-Frank Act and how it relates to RIM
- SEC regulations impact on RIM compliancy
- Other topics may be submitted to the instructor for approval

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Assignments (Continued)

Case Study Project Part 1 & 2

Students will work in groups of 3 to 4, to assess a scenario and develop a written solution or improvement plan, and present the plan to an administrative body as identified in the scenario. Each group is to select a case study project from the list of scenarios below. Other scenarios may be submitted to the instructor for approval. Visual aids are not required, but are recommended for superior work.

Case Study Project Part I (30% of course grade)
The written portion of the project must include a title page and an executive summary at the beginning of the paper. All members of the team will receive the same grade. The paper must be a minimum of 20 pages including the executive summary. The paper should be professional and adhere to the most recent edition of *The Chicago Manual of Style*.

The executive summary must be no longer than one page and it should include:
- An introduction explaining what needs to be resolved or improved
- An overview of the solution
- A summary of the major points of the full document
- A summary of the recommendations

These online resources provide information about writing an executive summary:
- "Definition of "Executive Summary,'" eHow Money, accessed December 29, 2012, http://www.ehow.com/info_8018795_definition-executive-summary.html
- "How to Write an Executive Summary," eHow Money, accessed December 29, 2012, http://www.ehow.com/how_16566_write-executive-summary.html
- "How to Format an Executive Summary Report," eHow Family, accessed December 29, 2012, http://www.ehow.com/how_7648567_format-executive-summary-report.html

Following the executive summary the paper should include:
- An explanation of the current situation
- Identify the current needs as well probable future needs
- Identify inefficiencies and/or ineffectiveness
- Identify the related risks and/or potential future risks

The solution or improvement plan should explain:
- How the identified needs will be met
- How it will improve efficiency and effectiveness for the organization
- How it will mitigate risk
- The estimated return on investment or a cost justification for implementing the solution or improvement plan

The paper is due on April 29, 2013, and is to be submitted by email, by 11:30PM, to margaret@ischool.utexas.edu.

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Assignments (Continued)

Case Study Project Part 2 (10% of course grade)
In addition to the written portion of the project, the group will also present the solution or improvement plan to the class. The class presentation has three objectives the group must meet. All members of the team will receive the same grade. Visual aids are not required, but are recommended for superior work.

1. Present the scenario to the class.
2. Address the class as the administrative body identified in the scenario, present a case for the need of a solution or improvement and present the solution or improvement including the elements from the written solution or improvement plan. Visual aids are not required, but are recommended for superior work.
3. The presentation must be at least 20 minutes but no longer than 30 minutes.

Scenarios for the case study project

Scenario 1
You have been assigned to a team project in the records management division of a large company to design a proposal for a RIM employee training program and develop an organization wide RIM procedures manual. The team is to develop a proposal identifying the reasons why a RIM training program and organization wide RIM procedures are needed and how they will provide benefit to the organization. This proposal is to be submitted to the executive officer for administrative services.

Scenario 2
A midsized company is expanding. They have identified a need to add a new department responsible for records management. Your consulting team has been hired to develop a recommended staff organization chart for the records management department to manage the company's RIM program. The board of directors expects to also see the functional areas of the program listed and a justification for each area. In addition they expect a statement of the anticipated benefit to the organization for each functional area of the program and list each area's activities to be performed.

Scenario 3
Your company has been in one location for ten years. It is now expanding to include 3 branch offices. Prepare a report for executive management that outlines a solution for moving from a centralized RIM system to a decentralized system (or hybrid, or still centralized).

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Assignments (Continued)

Scenario 4
You have been hired as a consulting team to develop a records retention schedule for a local company that has only been in business for three years. They have not had a records inventory done, so this will need to be done. Develop the records inventory process to conduct the inventory for the company. Prepare a report for executive management describing the strategy and process for conducting the inventory and the benefit of the inventory to the organization. Explain how to use the inventory to develop the records retention schedule.

Scenario 5
You have been hired as a consulting team to develop a records retention schedule for a county clerk. They have had a records inventory done, so this will not need to be done. Prepare a report for executive management describing the strategy and process for developing the records retention schedule for the county clerk's office based on the previous inventory. In addition, include an implementation plan for the records retention schedule.

Scenario 6
You have been hired to develop and oversee a vital records program for a large corporation with locations across the country. Develop a vital records plan, an implementation strategy and maintenance strategy to submit to the corporate records manager. Include the RIM priorities for the organization's continuity of operations plan (COOP plan) and RIM priorities for the organization's full disaster recovery plan.

Scenario 7
A large state agency has hired you to recommend system requirements for a system that will manage all agency personnel files. The agency is preparing to develop a RFP and they need to determine the system requirements to include. There are 5,000 active employees. The annual turnover rate is 5%. Each personnel file contains between 5 and 50 documents with an average of 25 pages per file. There are 10 document types used in the personnel files. They do not know how many documents are added annually. The file must be retained 5 years after termination or retirement of the employee. In general, only the personnel office accesses these records. However, about twice a week they need to provide access to specific documents to a field office. There are ten field offices. The personnel division director does not want to retain the original documents. Identify the system requirements the agency should include in the RFP and provide the reason each system requirement is being recommended for the RFP.

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Assignments (Continued)

Scenario 8
A large company is undergoing a reorganization of its information systems. There are 200 branch offices. There are shared databases across the branch offices. However, each branch office has been responsible for retaining its own hard copy records. Due to the nature of the business they operate from the database and the need to access the hard copy record is rare. There are certain regulations that require many of the records to be retained in hard copy for their retention period. Therefore, it has been determined that a records storage center is preferred to an imaging system for the solution. The company wants to develop its own centralized records storage center to which the branch offices will send their inactive hard copy records for the rest of the retention period. The company has hired you to develop the specifications for developing a records center, articulate staffing requirements and identify equipment needs.

Scenario 9
A small company has been very successful and is growing. They have several internal forms for processing, approvals and authorizations. They also have several forms for clients to submit requests and orders. Some forms are pdf forms that must be printed and signed prior to being submitted. Others are online forms. There is no title or version identification system for the forms. The records management department has identified the need for a forms management program and your team has been assigned the project of developing a proposal to present to administration for approval to create a forms management program.

Academic Accommodations
Any student with a documented disability (physical or cognitive) who requires academic accommodations should contact the Division of Diversity and Community Engagement, Services for Students with Disabilities at 471-6259.

Grading
Class Participation 20%
- Participation in class discussions related to the chapters in *Records and Information Management: Fundamental of Professional Practice*, 2nd Ed, and required readings. (5% of course grade)
- Lead a class discussion on one chapter from *Records and Information Management: Fundamental of Professional Practice*, 2nd Ed,. (5% of course grade)
- Consistent, positive and constructive class participation (10% of course grade)
Current Topic Presentation 30%
Current Topic Class Discussion Facilitation on the topic 10%
Case Study Project Part I 30%
Case Study Project Part 2 10%

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Grading (continued)

<u>Grading Scale</u>
A = 95 points and above
A- = 90 - 94.9 points
B = 80 - 89.9 points
C = 70 - 79.9 points
D = less than 70 points
F = less than 60 points

For more information on standards of work, please consult The Graduate School Catalog also available on the Web at http://www.utexas.edu/student/registrar/catalogs/.

Late assignments will not be accepted unless the instructor gives permission at least 24 hours before the due date and a specific alternate date and time are agreed upon at least 24 hours before the original due date and time. The instructor will only grant this permission in the most serious of situations.

Make up work will not be accepted unless the instructor gives permission at least 24 hours before the due date and a specific alternate date and time are agreed upon at least 24 hours before the original due date and time. The instructor will only grant this permission in the most serious of situations.

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 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.

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Course Schedule
Monday
6:00 PM to 9:00 PM

January 14, 2013 In class:
- o Introductions
- o Overview of course objectives
- o Review of class syllabus
- o Overview of assignments
- o Discussions:
  1. What records and information management (RIM) is
  2. History of RIM
  3. Life cycle of records
- Assignment for next class: Find a definition for the term "record" and bring it to class on 1/21/2013 for the discussion on definitions of records. There are various sources for a definition of a record. Some examples include:
  - o ARMA
    - http://www.arma.org/standards/glossary/index.cfm
  - o SAA
    - http://www.archivists.org/glossary/
  - o AIIM
    - http://www.aiim.org/Infonomics/articleview.aspx?ID=25000
  - o ISO 15489-1
    - PCL Stacks -Q- HF 5736 I58 2001 (on reserve at PCL)
  - o Merriam-Webster
    - http://www.merriam-webster.com/

- Required readings for next class on 1/21/2013:
  - o Kirsch, David A. 2009. "The Record of Business and the Future of Business History: Establishing a Public Interest in Private Business Records." *Library Trends* 57, no. 3: 352-370.
    - *Academic Search Complete*, EBSCO*host*
    - Persistent link to this record (Permalink): http://ezproxy.lib.utexas.edu/login?url=http://search.ebscohost.com/login.aspx?direct=true&db=a9h&AN=40102371&site=ehost-live
  - o Andolsen, Alan A. 2008. "The Pillars of Vital Records Protection." *Information Management Journal* 42, no. 2: 28-32.
    - *Academic Search Complete*, EBSCO*host*
    - Persistent link to this record (Permalink): http://ezproxy.lib.utexas.edu/login?url=http://search.ebscohost.com/login.aspx?direct=true&db=a9h&AN=31309775&site=ehost-live
  - o Dearstyne, Bruce W. 2006. "TAKING CHARGE: Disaster Fallout Reinforces RIM's Importance." *Information Management Journal* 40, no. 4: 37-43.
    - *Academic Search Complete*, EBSCO*host*
    - Persistent link to this record (Permalink): http://ezproxy.lib.utexas.edu/login?url=http://search.ebscohost.com/login.aspx?direct=true&db=a9h&AN=21559989&site=ehost-live

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January 21, 2013
- Readings required prior to class:
    - Kirsch, David A. 2009. "The Record of Business and the Future of Business History: Establishing a Public Interest in Private Business Records." *Library Trends* 57, no. 3: 352-370.
        - *Academic Search Complete*, EBSCO*host*
        - Persistent link to this record (Permalink): http://ezproxy.lib.utexas.edu/login?url=http://search.ebscohost.com/login.aspx?direct=true&db=a9h&AN=40102371&site=ehost-live
    - Andolsen, Alan A. 2008. "The Pillars of Vital Records Protection." *Information Management Journal* 42, no. 2: 28-32.
        - *Academic Search Complete*, EBSCO*host*
        - Persistent link to this record (Permalink): http://ezproxy.lib.utexas.edu/login?url=http://search.ebscohost.com/login.aspx?direct=true&db=a9h&AN=31309775&site=ehost-live
    - Dearstyne, Bruce W. 2006. "TAKING CHARGE: Disaster Fallout Reinforces RIM's Importance." *Information Management Journal* 40, no. 4: 37-43.
        - *Academic Search Complete*, EBSCO*host*
        - Persistent link to this record (Permalink): http://ezproxy.lib.utexas.edu/login?url=http://search.ebscohost.com/login.aspx?direct=true&db=a9h&AN=21559989&site=ehost-live
- In class discussions:
    - Importance of how an organization defines a record
    - Examples definitions of records
    - Records as assets
    - Ownership of records
    - Types of records and their value
    - Vital records
    - Disaster preparedness
    - Chapter discussion leader assignments
    - Discuss Current Topic Assignment
    - Discuss Case File Group Project

- Required readings for next class on 1/28/2012:
    - Saffady textbook, Chapter 1: Records Management as a Business Discipline
    - Brumm, Eugenia K., and Diane K. Carlisle. "STANDARDS: Building Blocks for a Strong RIM Program." *Information Management Journal* 39, no. 6 (November 2005): 30-39.
        - *Academic Search Complete*, EBSCO*host*
        - Persistent link to this record (Permalink): http://ezproxy.lib.utexas.edu/login?url=http://search.ebscohost.com/login.aspx?direct=true&db=a9h&AN=18850284&site=ehost-live

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January 28, 2013
- In class:
    - Class discussion on required readings (read before class)
        - Saffady textbook, Chapter 1: Records Management as a Business Discipline (required reading prior to class)
        - Brumm, Eugenia K., and Diane K. Carlisle. "STANDARDS: Building Blocks for a Strong RIM Program." *Information Management Journal* 39, no. 6 (November 2005): 30-39.
            - *Academic Search Complete*, EBSCO*host*
            - Persistent link to this record (Permalink): http://ezproxy.lib.utexas.edu/login?url=http://search.ebscohost.com/login.aspx?direct=true&db=a9h&AN=18850284&site=ehost-live
    - Discuss Current Topic Assignment
    - Current topics assigned
    - Discuss Case File Group Project
    - Case study groups assigned

- Required reading for next class on 2/04/2013:
    - Saffady textbook,
      Chapter 2: Preparing Retention Schedules I: Inventorying Records

February 04
- In class:
    - Class discussion on Saffady textbook,
      Chapters 2: Preparing Retention Schedules I: Inventorying Records (required reading prior to class)
    - Introduction to RIM related organizations and resources
    - Case study project group break out discussion groups
    - Case study group topics assigned
- Assignment for next class: Bring something about a RIM resource that is interesting.
- Required reading for next class on 2/11/2013:
    - Saffady textbook,
      Chapter 3: Preparing Retention Schedules II: Making Retention Decisions

February 11 Chapter 3
- In class:
    - Class discussion on Saffady textbook,
      Chapter 3: Preparing Retention Schedules II: Making Retention Decisions (required reading prior to class)
    - Discuss RIM related organizations and resources
- Required reading for next class on 2/18/2013:
    - Saffady textbook, Chapter 4: Records Centers

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February 18
- In class:
  - Class discussion on Saffady textbook,
    Chapter 4: Records Centers (required reading prior to class)
- Required reading for next class on 2/25/2013:
  - Saffady textbook, Chapter 5: Document Imaging Technologies
- Discuss Current Topic Assignment
- Discuss Case File Group Project

February 25
- In class:
  - Class discussion on Saffady textbook,
    Chapter 5 Document Imaging Technolog (required reading prior to class)
  - Case study project group break out discussion groups
- Required readings for next class on 3/04/2013:
  - Saffady textbook, Chapter 6: Vital Records

March 04
- In class:
  - Class discussion on Saffady textbook,
    Chapter 6: Vital Records (required reading prior to class)
  - Case study project group break out discussion groups to finalize case study scenario statement
  - Case study scenario statements due by the end of class today
- Required readings for next class on 3/18/2013:
  - Saffady textbook, Chapter 7: Managing Active Paper Records

March 11
- No class - Spring Break March 11 -16

March 18
- In class:
  - Class discussion on Saffady textbook,
    Chapter 7: Managing Active Paper Records
- Required readings for next class on 3/25/2013:
  - Saffady textbook, Chapter 8: Digital Documents
- Article citations for 4/01/2013 current topic presentations due by 6:00PM, 3/18/2013. Submit article citations by email to margaret@ischool.utexas.edu.

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March 25
- In class:
    - Class discussion on Saffady textbook,
    Chapter 8: Digital Documents
- Article citations for 4/08/2013 current topic presentations due by 6:00PM, 3/25/2012. Submit article citations by email to margaret@ischool.utexas.edu.
- Required reading for next class as announced (read prior to next class)
- Discuss Current Topic Assignment
- Discuss Case File Group Project

April 1
- Article citations for 4/15/2013 current topic presentations due by 6:00PM, 4/1/2013.
- Current Topic Presentations
- Discuss required readings for 4/1/2013 (required readings to be announced 3/18/2013; read prior to 4/1 class) Submit article citations by email to margaret@ischool.utexas.edu.
- Required reading for next class as announced (read prior to next class)

April 8
- Article citations for 4/22/2013 current topic presentations due by 6:00PM, 4/8/2013.
- Current Topic Presentations
- Discuss required readings for 4/08/2013 (required readings to be announced 3/25/2013; read prior to 4/08 class)

April 15
- Current Topic Presentations
- Discuss required readings for 4/15/2012 (required readings to be announced 4/1; read prior to 4/15 class)
- Discuss group case file projects

April 22
- Current Topic Presentations
- Discuss required readings for 4/22/2012 (required readings to be announced 4/8; read prior to 4/22 class)
- Discuss group case file projects

April 29 (Last class day for this course)
- Group presentations
- Reflect on course
- Group written solutions and improvement plans due. The plans must be submitted by email, by 11:55PM, to margaret@ischool.utexas.edu.