INF 389E: Introduction to Records Management  
Fall 2010

INSTRUCTOR  
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TEACHING ASSISTANT  
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COURSE MEETING TIMES:  
Wednesdays, UTA 1.502, 1:00 - 4:00 pm

COURSE DESCRIPTION AND OBJECTIVES:  
Records Management is the “field of management responsible for the efficient and systematic  
control of the creation, receipt, maintenance, use and disposition of records…” (ISO 15489-  
1:2001, clause 3.16). This course will provide an introduction to the principles and practices  
involved in managing records (both paper and electronic) in private and public sector  
organizations.

By the end of the course students will be able to:  
• Articulate what records are (whether in paper or in electronic form)  
• Understand and analyze why people, organizations, and governments create and keep  
  records  
• Understand and analyze the impact (practical, economic and social) that records  
  management has in organizational environments and government settings  
• Identify traditional and emerging roles and responsibilities of the records manager, and  
  articulate the similarities and differences between a records manager and other  
  information professionals (such as archivists, librarians, digital curators)  
• Understand and analyze the practical, legal, and ethical issues involved in implementing a  
  records management program  
• Understand and articulate policies and procedures for managing active and inactive  
  records (in paper and in electronic form)  
• Gain firsthand experience of designing an effective electronic record keeping system  
• Understand the tools and national and international standards that enable records
managers to carry out their job in a competent and comprehensive manner.

**COURSE REQUIREMENTS:**

*Class Lectures/Discussion*

Students are expected to complete all course requirements and readings, meet stated deadlines, and attend all scheduled classes. Students are expected to be knowledgeable about the topic being discussed on the basis of readings and to participate in discussion. Students are encouraged to share any additional references to recent literature that they have found useful with the class.

**ASSIGNMENTS:**

1. **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 groups of 3 or 4 to use the National Archives of Australia’s DIRKS methodology to examine, document, and suggest improvements for the personal electronic record keeping systems of one of the members of your group. In using the DIRKS approach your ultimate goal is to develop products and tools to support good recordkeeping including:

- documented recordkeeping requirements
- a “functions source document” for each function
- a business and records classification scheme
- a records disposal schedule, and
• guidance on the development of appropriate policies and procedures to support personal records and information management

For the purposes of this assignment each group is expected to complete the first six steps only (A-F). At each step you should document your research in a structured fashion to help you in writing the final report. As the DIRKS methodology has been created as a tool for organizations and not individuals, you will need a certain amount of flexibility and creative thinking to adapt these steps for your assignment. The ability of the group to grapple with, and think through, these issues will form a part of the final grade for this assignment. Further details about this assignment will be provided the first week of class.

Sections of the DIRKS report should be completed according to the following timetable:

• DIRKS blueprint - finish by week 3 (Wednesday, September 8th).
• Preliminary investigation (Step A) - finish by week 5 (Wednesday, September 22nd).
• Analysis of business activity (Step B) AND identification of recordkeeping requirements (Step C) - finish by week 9 (Wednesday, October 20th).
• Assessment of existing systems (Step D) - finish by week 11 (Wednesday, November 3rd).
• Identification of strategies for recordkeeping (Step E) AND design of a recordkeeping system (Step F) - finish by week 13 (Wednesday, November 17th).

Due Date for final report: Week 15 (Wednesday, December 1st)

Grading Criteria for the DIRKS Assignment:
• Ability of the group to grapple with, and think through, DIRKS to come up with a final product
  o Level of engagement with the process of undertaking the first 6 steps of DIRKS such that the final report covers all the key content
  o Ability to plan specifically for electronic records and to investigate the use of technology as a tool to help undertake the DIRKS assignment
  o Depth of analysis demonstrated in the final report
  o Level and quality of work each individual contributed to the assignment
  o Flexibility and creative thinking in adapting DIRKS to a personal electronic recordkeeping environment
• Research documented in a thorough and structured fashion with good use of visuals and tables as necessary.
• Writing style and mechanics (clarity of expression, good sentence structure, grammar, spelling, punctuation, etc).

2. Book Review

Students will individually write a review of a book that relates to the theme of this class - records and recordkeeping. A good place to look for appropriate books is the SAA (http://www.archivists.org/catalog/index.asp) and ARMA publications catalog (http://www.arma.org/bookstore/). By the beginning of class in week 2 please email me the name of the book you want to review. Please note that you cannot review a book that you have already read for another SI class. The book review should conform to the Society of American Archivists’ guidelines for writing a book review:

• Reviews should be approximately 1,500 words in length
• Reviewer must identify title, author or editor(s), city of publication, publisher, date of publication, numbers of pages, ISBN number (properly formatted), cloth or paper, and price
• Short summary of the book
  o Briefly discuss the author’s credentials and background
  o Describe the contents of the book - do not retell the story but provide an overview and summary
• Critical discussion and conclusion
  o Discuss your reaction to the book
  o Evaluate the book’s strengths and weaknesses
  o Discuss the book within an archival and records management context, its relationship to archives and records management and its significance for the discipline
  o Compare the book to similar works
  o Respond to the author’s thesis and opinions
  o Evaluate the book as a whole in terms of its usefulness to archivists and records managers and users of records and archival materials
• Do not focus on minor typographical or factual errors unless the work is significantly compromised

Grading Criteria for the Book Review Assignment:
• Structure and coherence
  o Inclusion of the required components of a book review as listed above (including an introduction, a short summary of the book, a substantial critical discussion, and a conclusion)
• Coherent paragraphs and good transitions.
• Depth of analysis
  o Discussion of both strengths and weaknesses of the book (content and approach), as well as what is new in the book
  o Arguments well supported and the analysis clear and logical
• Writing style and mechanics
  o Clarity of expression, good sentence structure, grammar, spelling, punctuation
• Ability to personalize the review as well as apply it to the archives and records management field in general

***Due Date:*** (Week 7 – Wednesday, October 6th).

### 3. Class Participation

In grading for class participation I will take into consideration student attendance, and each individual’s contribution to class discussions, use of the resources posted to Blackboard, and engagement with the process of working on the DIRKS assignment during class time.

**EVALUATION:**

DIRKS: 70% (grade will be equally split between individual contributions submitted during the semester AND the final grade given at the end of the semester for the overall group project)

Book Review: 20%

Class Participation: 10%

I will use the following schedule as the basis for calculating grades: A = 95-100, A- = 89-94, B+ = 84-88, B = 79-83, B- = 74-79, C+ = 69-73, C = 64-68, C- = 60-63, F = <60. For each day that an assignment is late, ten percent of the possible points will be deducted from the score.

**EXTRA CREDIT:** Students have the opportunity to earn up to an additional 5 points (5%). Extra credit can be earned in two ways. (1) Students can earn extra credit by completing an additional individual mini-project for the DIRKS assignment. This mini-project involves using the InterPARES “Creator Guidelines: Making and Maintaining Digital Materials: Guidelines for Individuals” and the PARADIGM “Guidelines for Creators of Personal Digital Archives” as the inspiration and as the basis for creating your own short recordkeeping guidelines for any one application that relies on cloud computing (such as Google Docs, Gmail, Twitter, Facebook, etc). (2) During the semester the students who turn in the best individual assignment for each step of the DIRKS project will also gain an extra
1%. The most extra credit that any one student can earn during the course of the semester is 5 points (5%).

REQUIRED TEXTBOOKS:

ANNOUNCEMENTS:

**University of Texas Honor Code**
The core values of The University of Texas at Austin are learning, discovery, freedom, leadership, individual opportunity, and responsibility. Each member of the university is expected to uphold these values through integrity, honesty, trust, fairness, and respect toward peers and community.

**Documented Disability Statement**
The University of Texas at Austin provides upon request appropriate academic accommodations for qualified students with disabilities. For more information, contact Services for Students with Disabilities at 471-6259 (voice) or 232-2937 (video phone) or [http://www.utexas.edu/diversity/ddce/ssd](http://www.utexas.edu/diversity/ddce/ssd)

**Use of E-Mail for Official Correspondence to Students**
E-mail is recognized as an official mode of university correspondence; therefore, you are responsible for reading your e-mail for university and course-related information and announcements. You are responsible to keep the university informed about changes to your e-mail address. You should check your e-mail regularly and frequently—I recommend daily, but at minimum twice a week—to stay current with university-related communications, some of which may be time-critical. You can find UT Austin’s policies and instructions for updating your e-mail address at [http://www.utexas.edu/its/policies/emailnotify.php](http://www.utexas.edu/its/policies/emailnotify.php)

**Religious Holy Days**
By UT Austin policy, you must notify me of your pending absence at least fourteen days prior to the date of observance of a religious holy day. If you must miss a class, a work assignment, or a project in order to observe a religious holy day, I will give you an opportunity to complete the missed work within a reasonable time after the absence.
COURSE SCHEDULE

Week One (Wednesday, August 25th)

Introductions, course objectives, assignments and expectations. The Role of Records Professionals in Society. Questions for class this week: Why are records professionals important to society? How long has the profession of records management been in existence? What are the differences and similarities between records managers and other information professionals?

IN CLASS: Formation of DIRKS groups


Other Resources:


Week Two (Wednesday, September 1st)

The Records Environment. Questions for class this week: What are records and why are they important? How do records differ from other information objects? What is meant by the term “recordkeeping”? How and why has the changing nature of organizations, technology and communication impacted records and recordkeeping?

IN CLASS: Overview of Book Review Assignment


### Week Three (Wednesday, September 8th)

**Understanding Records in More Depth – An Introduction to Diplomats.** Questions for class this week: What are records? What do archivists consider to be the essential components and characteristics of records?

| DUE: DIRKS Blueprint |
| IN CLASS: Discussion of DIRKS Step A |


### Week Four (Wednesday, September 15th)

**Nature of Electronic Records**

Questions for class this week: What are electronic records? What are considered to be the essential components and characteristics of an electronic record? Why? How do electronic records differ in a structured environment, unstructured environment, and web environment? Why?

| IN CLASS: Discussion of DIRKS Step A |


**Week Five (Wednesday, September 22nd)**

*Analyzing the Context for Records Management - Internal and External Influences Impacting the Practice of Records Management and the Tools to Understand this Context.*

What are the legal/statutory requirements, quality assurance standards, professional and industry standards and codes of practice that impact the practice of records management? Why are they important? What tools can records managers use to understand the context of their work?

<table>
<thead>
<tr>
<th>DUE: DIRKS Part A</th>
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<tr>
<td>IN CLASS: Discussion of DIRKS Step B</td>
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**Week Six (Wednesday, September 29th)**

*Classifying Records and Documenting their Context.* Business classification schemes and records classifications schemes. Questions for class this week: What is meant by classification? Why are records classified and organized? What are the differences between a business classification scheme and a records classification scheme? What are the similarities and differences between the architecture of a paper based records system and an electronic records system?

| IN CLASS: Discussion of DIRKS Step B |

Practice (Chapter 3: Classifying Records and Documenting their Context), pp. 72-100.


Other Resources:


**Week Seven (Wednesday, October 6th)**

**Creating and Capturing Records** – Including Selecting and Implementing Automated Records Management Systems. DoD5015.2-STD, UK Public Records Office *Functional Requirements for Electronic Records Management System*, and European Commission *Model Requirements for the Management of Electronic Records*). Questions for class this week: What is the difference between an electronic document management system, an electronic records management system, and an electronic content management system? What are the essential components of an ERMS from a records management perspective? What low tech solutions exist for managing electronic records if a company does not have an ERMS?

**DUE: Book Review**

**IN CLASS: Discussion of DIRKS Step C**


Other Resources:

- International: JISC’s (Joint Information Systems Committee) Electronic Records Management System Implementation Toolkit. [http://www.jiscinfonet.ac.uk/InfoKits/edrm](http://www.jiscinfonet.ac.uk/InfoKits/edrm)
Week Eight (Wednesday, October 13th)
Making Appraisal and Retention Decisions. Appraisal theory, appraisal criteria, and retention decisions. Questions for class this week: What is a records retention/disposition program and how is it implemented? What are the benefits of having a records retention/disposition program? How does appraisal in the records management realm differ from appraisal as it is discussed in the archival literature?

IN CLASS: Discussion of DIRKS Step C


Week Nine (Wednesday, October 20th)
More about Managing Email, Web Resources, and Metadata. Questions for class this week: Why is it important for organizations to have an email, IM, and web resources policy? What are the necessary components of such a policy? How can email, IM, and web resources be managed as a record? Questions for class this week: What standards exist for recordkeeping metadata? Why are these standards important? Why is metadata such a key part of any recordkeeping system?

DUE: DIRKS Part B and C
IN CLASS: Discussion of DIRKS Step D

Other Resources:

Week Ten (Wednesday, October 27th)
Managing the Integrity of Records. Including vital records, disaster planning and recovery, and imaging technologies. Questions for class this week: Why is it important to safeguard the integrity of records? What steps can be taken to ensure the integrity of records? What are the advantages and disadvantages of the various imaging technologies we will be looking at in class today?

IN CLASS: Discussion of DIRKS Step D


Week Eleven (Wednesday, November 3rd)
Providing Access to Records
Questions for class this week: What principles, tools and techniques of information retrieval do records managers have to know in order to provide access to records? Why are these principles, tools, and techniques important? What are the legislative and other internal and external constraints that can govern access to records? What is a corporate archive and what are its defining features?

**DUE: DIRKS Part D**

**IN CLASS: Discussion of DIRKS Steps E and F**


**Week Twelve (Wednesday, November 10th)**

**Storing and Preserving Records**

Questions for class this week: What is digital preservation and why is it important from a record management perspective? How do enterprise storage and digital preservation applications differ?

**IN CLASS: Discussion of DIRKS Steps E and F**


Other Resources:
- Neil Beagrie and Maggie Jones, and the Digital Preservation Coalition. The Handbook. Heslington, York, United Kingdom: The Digital Preservation Coalition,
Week Thirteen (Wednesday, November 17th)

Running a Records Management Program. Including the challenges of electronic records management, and the placement of records management services within organizations. Questions for class this week: What are some of the basic challenges involved in establishing and running a records management program? How can these challenges be overcome? What are the necessary components in the establishment of a records management program? What does it mean to be an ethically responsible records manager?

DUE: DIRKS Part E and F

- ARMA International. Records and Information Management (RIM) Core Competencies.

Week Fourteen (Wednesday, November 24th)

Work Week

Week Fifteen (Wednesday, December 1st)

Class Wrap-up

DUE: Final DIRKS Document
DUE: “My Contribution to DIRKS” Memo
Appendix A: DIRKS ASSIGNMENT

DIRKS Blueprint
Spend the first three weeks of class going over the DIRKS document in your groups and translating the requirements into a blueprint of how you will proceed with this assignment over the course of the semester. For each of the six sections write down which of the steps you will need to do (not all the steps will make sense or will be necessary in the context of looking at a personal record keeping systems) and write a brief note about how you will do this AND what products you will need to produce. Also include a list of who will be completing each section of the DIRKS assignment. Remember that the different steps in the assignment should be apportioned equally.

• If you are working in a group of 3 each student should complete two of the DIRKS steps. Furthermore, each student should take turns acting as editor (proof reading, quality assurance etc) for the final document. Two students should be assigned to act as editor for 3 steps each. The other student should then act as a final editor for the whole document.

• If you are working in a group of 4 each student should complete one and a half of the DIRKS steps. Furthermore, each student should take turns acting as editor (proof reading, quality assurance etc) for the final document. Three students should be assigned to act as editor for 2 steps each. The other student should then act as a final editor for the whole document.

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

• Establish a need to investigate these recordkeeping systems (including describing specific problems that your subject has run into with regard to his/her electronic records);

• Identify and describe all your subject’s electronic information and recordkeeping systems (think of a system as a contained entity such as a laptop, desktop, and/or a web based environments managed by an outside entity in which you create, manage, store documents and files, etc) and outline and describe the records series they contain:
  o NOTE: In describing these information and recordkeeping systems make
sure to include a note about the hardware (computers, external hard drives, servers etc) in which the systems/records reside, describe the records environment and augment the description with screen shots and/or charts/graphs of the records environment (using a program such as JDiskReport), and quantify the volume of records for each system (can be done using a program such as Disk Inventory X) and the record types (documents, images, sound files, etc).

- Determine which two electronic information/recordkeeping systems will be the focus of your investigation for this assignment; (you should pick systems which either meet the definition of a recordkeeping system or that should ideally function as a recordkeeping system although they currently function more as an information system – i.e. you want to describe systems that contain records or should contain records).
  - For this assignment you should include ONE desktop or laptop computer AND one electronic information/recordkeeping system that takes advantage of cloud computing (for example Google Docs, Gmail, Twitter, Facebook).
- Identify and describe the legal framework that impacts your subject’s daily life (as it relates to records and recordkeeping) and note any business risks associated with records and recordkeeping;
- Identify and describe any internal and external stakeholders who the subject needs to take into account in creating and maintaining their records;
  - Make sure to also include a discussion of the risks involved if your subject fails to properly manage his/her electronic records (see appendix 11 of DIRKS).
- Identify and describe the social, ethical, and legal standards the community expects your subject to meet as it pertains to recordkeeping;
  - NOTE: These requirements should relate to the creation, retention, disposal, access, content, form, quality of records etc. As there are few legal requirements with regard to personal recordkeeping, groups will need to think more in terms of documents such as “terms of use” and other such policies and guidelines which impact recordkeeping.
- Identify and describe the type of work they carry out;
  - Here you can start to work on describing the roles your subject plays in life (citizen, student, employee, social being, consumer, etc).
- Identify and describe your subject’s values, attitudes and beliefs (include only those values, attributes and beliefs that are of relevance to recordkeeping);
- Identify, describe, and analyze factors affecting their recordkeeping practices.
NB: In all the sections of your report you should also note the sources you used to compile this information and include this in the text or in an appendix. You should also make sure to format the DIRKS assignment as a business report.

B. Analyses of Business Activity

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

• Drawing from Step A, identify and describe the work performed by your subject (Section B.4);
• Taking both a top-down approach (hierarchical analysis) and a bottom-up approach (process analysis) identify and describe your subject’s functions, activities, transactions, and the associated record series in a “functions source document” (Section B.4.2);
  o the broad functions your subject undertakes to support their goals and strategies (think of this in terms of the roles or functions they perform: citizen, consumer, employee, social being etc)
  o the activities that contribute to the fulfillment of these functions
  o the record series that make up these activities with a note about the date ranges of the records, the file format and location in which they occur
  o the groups of recurring transactions or processes that make up each of these records series
  o NOTE: Only include those functions, activities, and record series that relate to the two electronic recordkeeping systems that form the core of your DIRKS assignment.
  o NOTE: Pay particular attention to how you name the functions, activities, and record series. Make sure that all names are clear and unambiguous. Names for functions can often be created by inverting transitive verbs e.g. Managing Human Resources – Human Resources Management. At lower levels the verbs should be present (Attending Class etc). You should also take a look at Appendix 15 of DIRKS and see what you can learn from this document about describing your subject’s activities (“Guidelines for using selected generic activities from Keyword AAA in agency business classification schemes”).
    ▪ Make sure to tie functions, activities, and series to relevant stakeholders and make an assessment of the risks associated with each function (see DIRKS Appendix 11).
• Develop a business classification scheme based on a hierarchy of functions,
activities, and record series (Section B.4.3) and include it in this section; and
• Describe how you validated the analysis of the activity with your subject (Section B.4.7).

C. Identification of Recordkeeping Requirements

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

• Identify and describe regulatory, business and community requirements for recordkeeping (Section C.4.2).

• Describe whether these requirements relate to the creation, retention, disposal, access, content, form, quality of records etc;

• Document these identified requirements in a manner suitable for reference purposes (Section C.4.3) (you may want to extend the “functions source document” or create a new table or template);

• Determine and document which of the identified requirements will be met – involves an element of risk assessment with regard to recordkeeping (in earlier steps you were evaluating the risk of particular functions and activities) (Sections C.4.4 and C.4.5).

• Finish this section by creating a functions based records disposal authority that builds from the business classification scheme.

  o NOTE: In effect the business classification scheme created in step B, along with the recordkeeping requirements identified in step C, should be used to extend the Business Classification Scheme to include a column for recordkeeping requirements relating to retention, and the source of disposition requirements, etc.

D. Assessment of Existing Electronic Systems

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

• Drawing from Step A, identify and describe existing electronic information and recordkeeping systems being used by your subject. This section should expand on findings from Step A and focus particularly on the two systems selected for this assignment. (Section D.4.1);

  o Make sure to describe the people who use the systems, the people who manage the systems, policies governing the use of the systems, rules and
procedures on operating these systems, and any tools associated with these systems.

- Drawing from Step B and Step C you should also identify and describe the significant but discrete series of records managed by both systems. As you survey each record series check it for compliance with relevant recordkeeping requirements and check whether the system has the necessary recordkeeping functionality.

- Analyze whether your subject’s prioritized recordkeeping requirements are being met by these two electronic information/recordkeeping systems. Their requirements should be thought of in terms of the functionality of the system and the ability to create, capture, and manage records (Section D.4.2). The benchmarks to use here are

  - (1) the DIRKS statement about “Characteristics of Systems that Keep Good Records”
    - records that are authentic, reliable, complete, unaltered, usable, system integrity etc, and
    - the recordkeeping processes that need to form part of the system (capture, registration, classification and indexing, access and security, appraisal, storage, use and tracking, and disposal) etc .
  - (2) the endorsed recordkeeping requirements from Step C.

- Describe whether these current systems have the capacity to meet them (by measuring the ‘gap’ between ‘what you have’ and ‘what you want’) (Section D.4.2); and

- Describe the strengths and weaknesses of existing information and records management practices (Section D.4.3). This can form the basis for subsequent design or redesign of systems, policies or procedures (Steps E and F).

E. Strategies for Recordkeeping

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

- Describe the broad range of tactics available to satisfy electronic recordkeeping requirements for each system (Section E.4.1);
  - Policy tactics
  - Design based tactics
  - Implementation specific tactics
  - Standards development and compliance tactics
• Identify and describe appropriate tactics to satisfy your subject’s electronic recordkeeping requirements for each system, (Section E.4.2) making sure to link these tactics to the two sets of characteristics of good recordkeeping listed in DIRKS: the recordkeeping aims and recordkeeping processes;
• Assess and describe factors that may support or inhibit the adoption of these tactics (e.g. culture, existing systems and technological environment, risks in failing to satisfy specific requirements) (Section E.4.3);
  o Make sure to confirm that all weaknesses or gaps identified in Step D are covered, and that the tactics do not undermine existing strengths in recordkeeping practices.
• Describe an overall design strategy to bring the tactics to fruition for each system (Section E.4.5).

F. Design of a Recordkeeping System

The design process involves producing a viable plan, or ‘blueprint’, that satisfies previously articulated requirements. In this final part of the report the following narrative sections should be included:
• Describe what recordkeeping policies you would put in place for both systems (Section F.4.1);
  o These policies may include recordkeeping at the desktop, email and web resources as records, records disposal etc.
• Identify and describe recordkeeping roles and responsibilities for each system (Section F.4.2);
• Describe how you would (re)design work processes for each system (Section F.4.3);
  o These work processes should eliminate problems you may have identified such as information duplication, inability to locate and retrieve important information, failure to backup electronic records on a regular basis, etc.
• Where applicable, describe how you would produce design documentation for each system (Section F.4.4);
• Describe how you would (re)design electronic systems for better record creation, capture and control for each system (Section F.4.5);
  o Focus on the deployment of appropriate technology and on issues like creating file naming standards, file classification schemes, file backup plan.
• Describe how you would conduct logical system design (Section F.4.5):
• Describe how you would develop recordkeeping guidelines and operating procedures for each system (Section F.4.6);
• Describe how you would conduct regular design reviews for each system (Section F.4.7);
• Describe how you would develop initial training plans for each system (Section F.4.8); and /or
• Where applicable, describe how you would prepare a system implementation plan for each system (Section F.4.9).

Appendix B: GROUND RULES FOR DIRKS ASSIGNMENT

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

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

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

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

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

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