This course introduces students to the principles and methods of managing records as operational, legal, and historical evidence in electronic environments. Topics include definitions of records and records management, organizational and individual recordkeeping behaviors, recordkeeping requirements and systems, electronic records classification and retention, electronic records management applications, strategies and tools for managing structured, unstructured, and Web-based information as records, and archival management of electronic records.

**Course Description**

Instructor and Contact Information

<table>
<thead>
<tr>
<th>Instructor and Contact Information</th>
<th>Office Hours</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name: Dr. Jane Zhang</td>
<td>Wednesdays, 2:00 pm – 4:00 pm or by appointment</td>
</tr>
<tr>
<td>Office: Marist 242</td>
<td></td>
</tr>
<tr>
<td>Office phone: (202) 319-5824</td>
<td></td>
</tr>
<tr>
<td>E-mail: <a href="mailto:zhangj@cua.edu">zhangj@cua.edu</a></td>
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</tr>
</tbody>
</table>

**Instructional Methods**

The course uses a variety of instructional methods and activities including lectures, readings, class discussions, assignments, case studies, system evaluations, and guest speakers.

**Required Text**


**Required Technologies**

The following capabilities are required for course delivery:
• Familiarity with digital information/electronic record creation and management environments and technologies
• Interest in exploring the application of electronic records management software and tools

The following technologies are taught as an essential part of this course:
• Introduction to personal and business information systems, electronic document management systems, and electronic records management systems
• Review and evaluation of software and tools designed to support electronic records management functionalities based on the international and national standards and requirements

Libraries
The CUA Libraries' wide range of resources and services, including databases, online journals, and FAQs are on the main web site. For assistance on papers and assignments, consult the research guides or schedule an appointment with a subject librarian.

Course Goals
This course is designed to

• Introduce principles, practices, standards, and systems for electronic records management
• Discuss organizational, behavioral, cultural, legal, technical challenges for electronic recordkeeping and records management
• Identify the importance and challenges of systematic organization and disposition of electronic records
• Provide hands-on experiences with developing records classification/retention plans and selecting electronic records management tools

Goals for Student Learning
At the end of the course students will be able to

• Articulate what records are in paper and electronic environments
• Observe and analyze why people and organizations create and keep records
• Familiarize with requirements and standards for electronic recordkeeping
• Demonstrate expertise in conducting functional analysis of records
• Create small-scale records classification and retention plans
• Develop skills to evaluate and recommend electronic records management solutions based on records management principles and best practices

Course Requirements
Detailed description and instruction will be posted on the course site.

• Attendance & class participation (10%)
• Weekly ERM news discussion (10%)
• ERM program case study report (25%)
• Record classification & retention assignment (20%)
• Professional activity report (10%)
• ERM research paper and presentation (25%)
Expectations and Policies

**Academic honesty:** Academic honesty is expected of all CUA students. Faculty are required to initiate the imposition of sanctions when they find violations of academic honesty, such as plagiarism, improper use of a student’s own work, cheating, and fabrication. The following sanctions are presented in the University procedures related to Student Academic Dishonesty (from http://policies.cua.edu/academicundergrad/integrityprocedures.cfm): “The presumed sanction for undergraduate students for academic dishonesty will be failure for the course. There may be circumstances, however, where, perhaps because of an undergraduate student’s past record, a more serious sanction, such as suspension or expulsion, would be appropriate. In the context of graduate studies, the expectations for academic honesty are greater, and therefore the presumed sanction for dishonesty is likely to be more severe, e.g., expulsion. ...In the more unusual case, mitigating circumstances may exist that would warrant a lesser sanction than the presumed sanction.” Please review the complete texts of the University policy and procedures regarding Student Academic Dishonesty, including requirements for appeals, at http://policies.cua.edu/academicundergrad/integrity.cfm.

**Accommodations for students with disabilities:** Any student who feels s/he may need an accommodation based on the impact of a disability should contact the instructor privately to discuss specific needs. Please contact Disability Support Services (at 202 319-5211, room 207 Pryzbysla Center) to coordinate reasonable accommodations for students with documented disabilities. To read about the services and policies, please visit the website: http://disabilitysupport.cua.edu.

**Campus Resources for student support:**
CUA Center for Academic Success
http://success.cua.edu/services/index.cfm
Pryzbysla Center, Suite 204
Phone: (202) 319-5655

CUA Counseling Center
http://counseling.cua.edu/services/
127 O'Boyle Hall
Phone: (202) 319-5765

Mullen Library
http://libraries.cua.edu/welcome.html
Phone: (202) 319-5070

**Final Grading Scale:**

<table>
<thead>
<tr>
<th>Grade</th>
<th>Percentage</th>
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<tbody>
<tr>
<td>A</td>
<td>94-100</td>
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<tr>
<td>A-</td>
<td>90-93</td>
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<tr>
<td>B+</td>
<td>87-89</td>
</tr>
<tr>
<td>B</td>
<td>84-86</td>
</tr>
<tr>
<td>B-</td>
<td>80-83</td>
</tr>
<tr>
<td>C</td>
<td>70-79</td>
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</tbody>
</table>
University Grades:
The University grading system is available at
http://policies.cua.edu/academicundergrad//gradesfull.cfm#II for undergraduates and
http://policies.cua.edu/academicgrad//gradesfull.cfm#iii for graduate students.
Reports of grades in courses are available at the end of each term on http://cardinalstation.cua.edu.

Syllabus Changes

The instructor reserves the right to make changes to this syllabus as needed.

Course Schedule

The course schedule is subject to change depending on class needs. Additional/alternative readings may be provided.

<table>
<thead>
<tr>
<th>Date</th>
<th>Topic</th>
<th>Readings and Assignments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class 1</td>
<td>Course Introduction</td>
<td>Course Syllabus, Assignments</td>
</tr>
<tr>
<td>(1/12)</td>
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</tbody>
</table>
| Class 2  | Records, Recordkeeping, and Records Management Programs | Stephens: Chapters 1-2  
Introduction: Status and Trends  
Building Successful Programs  
DIRKS Manual: Part 1  
The DIRKS Methodology: A Users Guide  
| (1/19)   |                                                   |                                                                                         |
| Class 3  | Recordkeeping Requirements                        | Stephens: Chapter 6  
Business Recordkeeping and the Law  
DIRKS Manual: Step C  
Identification of Recordkeeping Requirements |
| (1/26)   |                                                   |                                                                                         |
Assessment of Existing Systems  
Design of a Recordkeeping System  
Implementation of a Recordkeeping System  


|---|---|---|
| Class 5 (2/9) | Recordkeeping Behaviors | DIRKS Manual: Step A  
Preliminary investigation  


Lips, Miriam and Anita Rapson. "Exploring Public Recordkeeping
| Class 6 (2/16) | Records Organization and Access | Stephens: Chapter 9, Chapter 11  
Improving Recordkeeping System Performance  
Information Access, Privacy, and Security  
DIRKS Manual: Step B  
Analysis of Business Activity  
| Class 7 (2/23) | Records Retention and Disposition | ERM Program Case Study Report due Tuesday February 21st  
Stephens: Chapters 3, 4, and 7  
Records Retention: Managing the Information Life Cycle  
Electronic Records Retention: Managing the Data Life Cycle  
Records Retention and the Law  
| Class 8 (3/1) | Software Solutions: ECM, EDMS & ERMS | Stephens: Chapter 12  
Software Solutions for Electronic RIM  


|---|---|---|
| (3/8) | NO CLASS  
(Spring Recess) | |
| Class 9 (3/15) | Unstructured Information as Records | Records Classification & Retention Assignment due Tuesday March 13th  

Stephens: Chapter 8  
Managing the Message  


NARA Bulletin 2012-02: Guidance on Managing Content on Shared Drives, December 06, 2011 |
### Structured Data as Records

<table>
<thead>
<tr>
<th>Class 10</th>
<th>Structured Data as Records</th>
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### Website Records

<table>
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<th>Class 11</th>
<th>Website Records</th>
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<tr>
<td>(3/29)</td>
<td><strong>Professional Activity Report due Tuesday March 27th</strong></td>
</tr>
<tr>
<td>Date</td>
<td>Class</td>
</tr>
<tr>
<td>--------</td>
<td>-------</td>
</tr>
<tr>
<td>4/12</td>
<td>Class 12</td>
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</table>
| 4/19   | Class 13 | Electronic Records Archives and Digital Preservation | Stephens: Chapter 14  
Digital Records Preservation  
InterPARES2 PRESERVER GUIDELINES Preserving Digital Records: Guidelines for Organizations. |
<table>
<thead>
<tr>
<th>Date</th>
<th>Activity</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class 14</td>
<td>Research Project Presentation</td>
<td>ERM Research Paper and Presentation Due</td>
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