Course Syllabus

This course offers an introduction to records and information management principles and concepts as they are applied to organizations and institutions in the corporate, non-profit, and public sectors. The topics to be covered will convey and understanding of the purpose and basic components of a records management program, the nature and issues posed by electronic records and the relationship of records management to other information management activities [e.g., library science, archives, knowledge management]. The textbook for the course will be *Records and Information Management: Fundamentals of Professional Practice*, 2nd. Ed., by William Saffady (ARMA International, 2004), which can be ordered on-line at [www arma org](http://www arma org) (Non-Member Price: $60/ Member Price: $40 ISBN: 978-1-936654-00-0).

TOPICS TO BE COVERED:

1. Course introduction and requirements
2. Overview of RIM; rationale, concepts and definitions
3. Records surveys and inventories
4. Retention scheduling
5. Inactive records storage and retrieval
6. Document imaging systems
7. Filing systems
8. Vital records
9. Business process analysis and records management
10. Electronic document management systems
11. Advocacy for Records Management

This class will meet each Monday evening from 7:15 - 10:10 PM from August 29th through December 5th, except for September 5th (Labor Day) and October 10th (Columbus Day). Office hours will be from 6:45 - 7:15 PM in Draper 113 each Monday evening that class is scheduled to meet or by appointment. I can be reached by phone at 518/944-5485 by email at araymond43@gmail.com
WRITTEN ASSIGNMENTS

Your grade in this course will be determined by successful completion of five (5) of the following written assignments, participation in class discussion, and your performance on mid-term and final examinations. All papers should be typed, double-spaced and approximately five pages in length. Students are strongly encouraged to consult with me about their selection of assignments.

1. Make a list of as many types of records as possible that document various events, achievements, transactions or other activities in your life to date. Include the name of the record, approximate date(s), purpose of the record and the name of the agency or organization that maintains the official copy of the record. (This assignment will not be graded, but is required of all students.)

2. Using a form to be supplied in class, inventory at least three (3) records series created and/or received by an office, government agency, business or other organization. (This assignment will not be graded, but is required of all students.)

3. Locate an official retention schedule currently utilized by a business, government agency or non-profit organization. Briefly describe the scope, content, format, indexing, instructions for use and any other pertinent information for each one. Identify the scheduled retention periods for the following record series: a) meeting minutes b) Personnel files c) Building plans (as-built) d) Correspondence e) Purchasing files f) Contracts g) Insurance policies h) Payroll records i) E-mails, and j) Annual reports. Note the specific item number that corresponds to each of these records on the schedule as well as any issues you encountered in trying to determine the appropriate retention period.

4. Identify five laws or administrative rules and regulations at the federal or state level of government relating to records retention or records access (e.g., Freedom of Information laws, privacy laws, Electronic Signatures and Records Act, Sarbanes-Oxley Act). Obtain a copy of the law or regulation, read it carefully, and write an approximately one-page summary and analysis of each one.

5. Visit an inactive records storage facility and prepare a report on how it performs the basic administrative functions of records transfer, space allocation, records retrieval and destruction. Also describe the facility, equipment used, staffing, and security measures in place. Explain the major strengths and weaknesses of the program.

6. Tour a local file conversion service bureau and prepare a report on the physical facilities, production equipment, job-tracking system, quality control procedures, clientele and scope of the services provided.

7. Locate a business, government or non-profit organization that maintains a written disaster preparedness or business continuity plan. Read the plan and, if possible, interview the person principally responsible for maintaining and implementing it. Prepare a report describing and analyzing the plan based on information from the textbook, class discussion and other published sources.

8. Locate the website of an EDMS/ECMS vendor that includes an on-line demo. Based on information contained in the demo and elsewhere on the website, describe the
main functions and benefits of the system including (but not necessarily limited to) creation, use, storage, and disposition of the records it is used to maintain.

9. Describe and evaluate a file series currently used by an organization or government agency to conduct its official business. Briefly describe the filing system including the types of documents it contains, how they are organized and accessed, by whom they are used and for what purpose(s). Note, too, whether some or all of the paper files are also maintained and used in one or more electronic formats. How long are these files scheduled to be retained? Explain whether and how the applicable retention period(s) are implemented for paper and/or e-files?

10. Prepare an annotated bibliography of five articles, web sites, laws, regulations or other publications dealing with one or more e-records issues (e.g. security, access, records retention, admissibility).

11. Re-organize the files contained in the “My Documents” section of your computer into primary, secondary and tertiary classifications based on information from the textbook, class discussion and other published sources. Once you have developed a new classification system, re-name all individual files using standard naming conventions. Explain how your new classification system and naming conventions improve upon the previous arrangement and file names. Include with your paper a print-out of the existing files classification and new file names.

12. Students may develop their own assignment in lieu of any of those outlined above as long as it pertains to a topic covered in this course and is approved in advance by me.

8/26/11