This course offers an introduction to the fundamental concepts and practices of records and information management as they are applied to organizations and institutions in the corporate, non-profit, and public sectors. The topics to be covered will convey an 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 disciplines (e.g., library science, archives and knowledge management). The textbook for the course will be *Records and Information Management: Fundamentals of Professional Practice, 2nd Ed.*, by William Saffady (ARMA International, 2011), 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; rational, concepts and definitions
3. Records surveys and inventories
4. Retention scheduling
5. Inactive records storage and retrieval
6. Document imaging systems
7. Files classification
8. Vital records protection
9. Business Process analysis and records mangement
10. Electronic document management system

The class will meet each Monday evening from 7:15 - 10:05 PM from August 25th to December 8th, except for September 1st (Labor Day) and October 13th (Columbus Day). Office hours will be from 6:45 - 7:15 PM in Draper 116 each Monday evening that class is scheduled to meet or by appointment. I can be reached by phone at 518/944-5485 or 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 and your performance on take-home mid-term and final examinations. As noted below, assignments 1, 2 & 3 are required of all students. Due dates for completion of all assignments will be announced in class. All papers should be typed, double-spaced and approximately five to seven pages in length. Please consult with me if you have any questions about your selection of these assignments.

1. **My Records.** Make a list of at least fifty (50) different types of records that document various events, achievements, transactions and other activities in your life to date. Include the name of the record, approximate date(s), its main purpose, and the name of the agency or organization that maintains the record. (*This ungraded assignment is required of all students.*)

2. **Retention Schedules.** Locate three (3) official retention schedules maintained online by a business, government agency or non-profit organization. Describe briefly the scope, content, format, indexing, instructions for use and any other pertinent information for each of the selected schedules. Then identify the retention periods designated for each of the following record series. Note the specific item number that corresponds to each of these records on the schedules as well as any problems you encountered in trying to determine the appropriate retention periods. (*This assignment is required of all students.*)
   * Minutes of Board of Directors, Trustees or other governing body
   * Personnel files maintained by a human resources department
   * Workers compensation case records
   * Engineering drawings for buildings that the organization owns or occupies
   * Routine correspondence
   * Purchasing orders and related documents
   * Contracts and other legal agreements
   * Litigation case files
   * Budget files
   * Payroll records
   * E-mails
   * Video recordings created for surveillance or public safety purposes
   * Invoices submitted for payment
   * Financial audit reports
   * Records related to property insurance claims, and
   * Annual reports.

3. **Records in the News.** Prepare a list of citations with summaries for articles related to records management issues that are published in the *New York Times*, the *Wall Street Journal* or other major newspaper during the semester. Articles can deal with any aspect of records management such as growth of paper files, destruction of records, value of office space, automated recordkeeping systems, recordkeeping costs, use of records in litigation, etc. For each article, cite the title of the article, the
newspaper in which it appeared, and a brief summary. *(This assignment is required of all students.)*

4. **Records Inventory.** Using a form to be supplied in class, inventory at least five (5) significant records series maintained by any local office, government agency, business or other organization. For this assignment, you must have physical access to all of the records that comprise each series as well as the ability to interview and ask follow-up questions of the principal custodian and/or other person(s) familiar with the records. After you have compiled the inventory data, write a two to three-page summary of your experience.

5. **Records Access/Privacy Protection Laws.** Visit the website of the New York Department of State, Committee on Open Government (www.dos.ny.gov/coog), which administers the Freedom of Information (FOIL) and Personal Privacy Protection Laws (PPPL). Review and summarize the major provisions of either one of these laws. Then select and describe four (4) advisory opinions covering different aspects of that law issued by the Committee. Outline any questions which these opinions raised in your mind.

6. **Inactive Records.** 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 disposition. Also describe the physical facility, major pieces of equipment used, staffing, security measures and disaster plans in place. Explain what you think are the major strengths and weaknesses of the program.

7. **Records Storage Vendors:** Describe the products and services of a commercial record storage company that provides offsite storage for inactive records. Your report can deal with a large national or international firm with multiple locations, such as Iron Mountain or Recall, or with a smaller record storage provider that serves a single area such as the Greater Capital region. Your report should describe the company, discuss the number and locations of the facilities it operates, summary the types of services it offers, and types of clientele.

8. **Micrographics/Document Imaging.** Visit a local file conversion bureau and prepare a report on the physical facilities, production equipment, job-tracking system, quality control procedures, clientele and scope of the services provided. Explain what you think are the major strengths and weaknesses of the service.

9. **Micrographics/Imaging.** Describe the products of a vendor that manufactures and/or sells microfilming products and/or related services (e.g., film, cameras, reader/printers, scanners, computer-output recorders). Examples of vendors include Eastman Park Micrographics, Canon, KonicaMinolta, Indus International, Staude, Crowley, e-Image Data and Nextscan. Your report should discuss the types of products and related services that the vendor offers.

10. **Filing Systems.** Describe the products of a vendor that markets filing cabinets, supplies, or related produce for in-office storage of paper records or engineering drawings. Examples include Tab Products, Smead Manufacturing, Esselte and Steelcase but you can use your preferred search engine to identify other vendors. Your report should discuss the types of filing products and related services that the vendor offers.

11. **Disaster Preparedness/Business Continuity.** Locate a business, government agency 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 class, the textbook and/or other published sources.

12. **Electronic Document Management Systems.** Locate and watch an on-line demo of a commercially available EDMS/ECMS system. Based on information presented in the demo and elsewhere, describe how the system manages the creation, use, storage, and disposition of the records and other content it is used to maintain. Explain the program’s main features and capabilities such as version control, access control, file taxonomy, indexing, metadata and reports management.

13. **Archives and Records Management.** Prepare an annotated bibliography of articles, books, and other publications dealing with the relationship of records management and archives. The selected publications may deal the similarities and differences of the two disciplines, the need for archives involvement in records management (and/or vice versa), conflicts between the two fields, or any other aspect the relationship. Your bibliography should include at least 15 articles totaling 100 pages of reading. Include a summary of the main points and a full bibliographic citation in a format of your choice for each cited work.

14. **Government Records Management Programs.** Describe records management operations and activities in a government agency. You may use a federal government agency such as the National Archives and Records Administration, which has authority over all federal agencies, or a specific agency such as the Environmental Protection or the Department of Defense, which has its own records management policies and procedures. You may also look at state archival agencies, which typically oversee state and local government records. Good examples include the New York State Archives, the New Jersey Department of Archives and Records Management, the Connecticut State Library, the Virginia State Archives and Library, the Kentucky Department of Libraries and Archives, and the Georgia State Archives. Your report should discuss in detail the legal authority for the agency’s records management operations as well as the nature and scope of its records management programs and services.

15. **Other Records Management Programs.** Based on site visits and related reading, describe the records management policies and practices of a specific company, academic institution, local government, hospital or other organization. Your report should address the company’s records retention practices, protection of vital records, use of microfilm and/or document imaging technology, offsite storage and any electronic document management/content management systems.

8/22/2014