SYLLABUS

Records Management (LIB K128-M01)

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Learning Resources Center

(Spring 2001)

Course Description

The organization, storage and retrieval of institutional records are discussed. Students will learn what methodologies and technologies are used to create logical, workable file systems, which include paper filing, microfilm systems, optical disk systems, and microcomputer database management. Ways for records evaluation, records appraisal and retention are also discussed. An emphasis of the course is to expose students to a variety of career paths in records management.

Objectives

1) To understand the history, scope, principles, and practices of records management.

2) To acquire a framework for the development and evaluation of records management programs in a variety of settings.

3) To become familiar with the profession of records management, and to understand its relationship to library and information science.

Method of Evaluation

1) Multiple choice and true/false questions will comprise the majority of the examinations. Short essay questions may appear on the exams, however, will be provided as a means of scoring "bonus points". Exam questions will be based primarily on the required reading in the text but may be augmented by information provided in the classroom lecture &/or discussions as well.

2) Student presentations (oral and written)

3) Class participation and contribution.

4) Student research projects.

Procedure

Because of the rapid and ever evolving nature of information, applicable technologies, and the rules, policies and laws governing its management, we will use several approaches to the study of this subject. One of the most important will be discussion. It is my intent that the class periods provide a forum for discussion, as opposed to a direct regurgitation of weekly reading assignments. While the text will be expected to be read as assigned, it is hoped that it will initially provide us with an equally available baseline of information on the subject of *Records Management*, despite the diversity of familiarity that each student brings with him to our initial and subsequent class meetings. Other approaches will include written exploration of subject matter, individual or group presentations, viewing of videos on *Records Management* topics, as well as guest speakers &/or visits to nearby information centers.

Note to the "Faint of Heart": *As detailed in the 'Method of Evaluation' class participation does count towards your grade in this class. This presents an opportunity for the more "free spirited" individuals in any class setting to attempt (purposefully or otherwise) to dominate class discussions. While 'open dialogue' will be encouraged, it shall be encouraged in a fashion befitting accompanied professional behavior. Speaking in a discourteous manner (such as speaking over a student making a verbal point, speaking when not recognized by the instructor, etc.) will lead to a downgrade of a student's evaluation in that element. Further, while not required, raising of hands as a show of a desire to contribute to discussion is encouraged. Should any student at any time feel their offered inputs have been overlooked, please meet with me immediately during the class break, or if more appropriate, after class. You have paid your tuition as well as have committed to "serving time" for the 16 week class duration period. It is my responsibility to each of you, therefore, to ensure you are provided an equal opportunity to learn about Records Management, as well as receive a grade in this course commensurate with the effort you are willing to expend.*

No Makeup's

Tests which are missed for any reason cannot be made up. My reason for this is that more than likely most of the students, as well as your instructor, already working part or full-time jobs and juggling a myriad of other responsibilities. As a built-in allowance for students who must miss a test for an excusable reason (illness, job travel, etc.), students are required to take only three of the four tests which will be given. Under normal circumstances a student will take the first three tests and then be exempt from the final test. Those students who, for any reason, miss one of the first three tests *(or fail one and would like the option of bringing their grade up)* will be required to take a final exam, which will cover the entire course.

Attendance

Because this course is designed to rely heavily on student interaction, class attendance is considered of great importance. Attendance will be taken. Due to that fact, the missing of three classes will result in the lowering of a student's earned class grade by one full point (e.g. an "A" (4.0) would automatically result in a "B" (3.0)). A student who misses four or more classes will receive a failing grade for the course. Depending on the reason for such poor attendance, the student is welcome to discuss their situation with the instructor, who may wish to encourage them to try the course again at a later time.

Required Text

1.	*Information and Records Management: Document-based Information Systems,* 4th edition, 1996.

Recommended Reading

A list of recommended readings is in the process of being updated for distribution. Hopefully, it will be provided to you as a separate handout during one of the early class sessions. Items listed could prove helpful in support of your student research project, and certainly in your overall understanding of *Records Management* methodology, issues and trends. Begin your search early if you are interested in using these sources. In some instances, you may have to obtain a listed item via inter-library loan. Your best starting point is the Learning Resource Center. If you get an early start and find you must resort to the use of inter-library loan, realize the

Inter-library Loan Librarian will be able to assist you with your research needs. Although you will not be able to check materials out, you are also able to use the information rich resources at nearby Connecticut College. Their staff is also willing to assist any student performing research, even if not enrolled in a Connecticut College program.

Evaluation Criteria

I   Exams: There will be three non-cumulative exams as noted on the assignment outline. As previously stated, based on either a student's poor attendance record or their desire to bring-up their grade for the course, a fourth exam, which will be cumulative, is provided as an option. This exam will take place during final exams week.

II   Research Project: Each student is required to complete a research project. The project will be discussed in detail in class.

III Article Presentation: Each student is required to present one, brief article in class each week. Unlike the research project, presentation of the articles will be done on an informal basis. The purpose of this assignment is to facilitate class discussion on the very latest issues and trends on the subject of *Records Management*. Further details will be given in class.

Evaluation:

1.	Average of exams	=	25%
2.	Project	=	50%
3.	Articles	=	15%
4.	Participation & Attendance	=	10%
	Total	=	100%

Letter Grades: Numerical Determination

Grades	Equivalent	Quality Points
A	94 – 100	4.0
A-	90 – 93	3.7
B+	87 – 89	3.3
B	83 – 86	3.0
B-	80 – 82	2.7
C+	77 – 79	2.3
C	73 – 76	2.0
C-	70 – 72	1.7
D+	67 – 69	1.3
D	63 – 66	1.0
D-	60 – 62	0.7
F	0 – 59	0.0

Course Withdrawal Policy

Students may withdraw, in writing at the Register's Office, for any reason until the end of the 10th week of class. From the 11th week through the end of the 13th week, a student may withdraw with the instructor's written approval.

Disabilities Statement

If you have a hidden or visual disability, which may require classroom or test-taking modifications, please see me as soon as possible. If you have not already done so, please be sure to register with Carol Kaszubski, who is coordinating services to students with disabilities, or John Perch, Disabled Student Counselor.

Other Handouts in Support of the Syllabus

In addition to providing a handout of "Recommended Reading"*, other handouts will be supplied to you during our first class meeting and also are intended to supplement this syllabus. The handouts include:

1. Explanation of the Student Research Project. This will include requirements (including a schedule of outline, draft, and final submittal due dates of the written portion), recommended approaches, and suggested research topics.

2. A short explanation of the weekly article discussion requirements.

3. The class schedule. This will provide you with visibility to what we will be covering in class each week (including any scheduled trips, guest speakers, videos, etc.). It will also state which chapters of the required text you will be expected to have read prior to class.

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*As previously mentioned, this handout is in the process of being updated and hopefully will be available during the early portion of the course. However, it is expected that, as is the case with most Library Science courses in the Three Rivers curriculum, that you will perform independent research in support of this class. It is advised that you not wait for the receipt of this list to begin your search for additional, supplemental reading, which may provide you source material for your weekly article assignment, &/or assist you with the generation of your research project.

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SCHEDULE

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OUTLINE OF TOPICS

January 22 (Week 1)
Introduction; Review of the syllabus and associated handouts.

Assignment 1 – Read Chapters 1 & 2 in text and be prepared to discuss them. (Be able to answer all *Questions for Discussion* found at the end of each chapter.); Article 1 on the subject of *Records Management* (See Supplement "C" to Syllabus for amplification.)
Due: *January 29*

January 29 (Week 2)
Discussion of Chapters 1 & 2; Article 1 informal presentations on the subject of *Records Management;* Video: *Slow Fires,* on the preservation of the Human record.* {60 mins.} {Based on availability of the video at this time.}: Discussion of possible Student Research Projects and approaches, {time permitting}.

Assignment 2 – Read Chapters 3 & 4 in text and be prepared to discuss them. (Be able to answer all *Questions for Discussion* found at the end of each chapter.); Article 2 on the subject of *Records Management;* Identify 2 or more topics for potential development into Student Research Project (See Supplement "D" to Syllabus for amplification.)
Due: *February 5*

February 5 (Week 3)
Discussion of Chapters 3 & 4 in text and notes from classroom discussions; Discussion of relationship between Library Science & *Records Management*; Article 2 informal presentations; Submittal and approval of topic for Student Research Project; Video: *Into the Future** on the preservation of knowledge in the electronic age. {60 mins.}

Assignment 3 – Read Chapters 5, 6, & 7 in text and be prepared to discuss them. (Be able to answer all *Questions for Discussion* found at the end of each chapter.); Article 3 on the subject of *Records Management.*
Due: *February 12*

February 12 (Week 4)
Guest Speaker: Mr. Karl Zoeckler, *Records Management Manager, Pfizer Global R&D Center, Groton, CT/R&D & Patent Records in the Pharmaceutical Industry, With Emphasis on Electronic Records Technology {Approx. 1.5 hrs. presentation, including a Q&A session}**;* Article 3 informal presentations; Discussion of Chapters 5, 6, & 7 in text {time permitting}.

Assignment 4 – Review Chapters 1-7, as well as materials presented in class for *Test 1.* Identify whether your Student Project will be developed and delivered on an individual basis, or as a team. If to be developed as a team, prepare to submit names of team members and initial thoughts as to the role of each member; Article 4 on the subject of *Records Management. Note: Be sure to bring your text to next class!*
Due: *February 26*

February 19 (Week 5)
Presidents' Day, College closed!

Assignment 5 – Continue to review for test; Read Chapters 8, 9, & 10 of text and be prepared to discuss them; (Be able to answer all *Questions for Discussion* found at the end of each chapter.); Begin &/or continue research for Student Research Project.
Due: *February 26*

February 26 {Week 6}
Test I on Chapters 1-7 and classroom discussions; Video: *Taming the Paper Tiger** {23 mins.} {Based on availability of the video at this time.} Article 4 informal presentations; Discuss with instructor if your Student Research Project will be an individual or team effort. (If team effort hand in description of team [team members and their roles].) Discussion of Chapters 8, 9, & 10 of text, {time permitting}.

*Materials presented in videos may be included in test questions.
**Materials presented by guest speakers may be included in test questions.

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February 26 {Week 6} (Cont'd)

Assignment 6 – Read Chapters 11 & 12 in text and be prepared to discuss them. (Be able to answer all *Questions for Discussion* found at the end of each chapter.); Article 5 on the subject of *Records Management;* Begin &/or continue research for Student Research Project.
Due: *March 5*

March 5 {Week 7}

Discussion of Chapters 8 & 9; Article 5 informal presentations; Review of Test 1 (Based on instructor's ability to have all tests corrected for return to students by class time.) Disaster Management in the Public Library setting; Discussion of
the fire at the Danbury Public Library. Video: *The Inside Track to Disaster Recovery** {13 mins.} {Based on the availability of the video at this time.}

Assignment 7 – Read Chapters 10, 11, & 12 in text and be prepared to discuss them. (Be able to answer all *Questions for Discussion* found at the end of each chapter.); Article 6 on the subject of *Records Management;* Continue research for Student Research Project.
Due: *March 19*

March 12 {Week 8}
Spring Break, College closed!

Assignment 8 – Review Chapters 8 – 12, as well as materials presented in class for *Test 2;* Article 7 on the subject of *Records Management;* Continue research for Student Research Project. *Be sure to bring your text to next class meeting!*
Due: *March 19*

March 19 {Week 9}

Test 2 on Chapters 8 – 12 as well as materials presented in class; Article 6 & 7 informal presentations on the subject of *Records Management;* Video: *Public Records, Public Trust** {16 mins.} {Time permitting & based on the availability of the video at this time.}

Assignment 9 - Read Chapters 13 & 14 in text and be prepared to discuss them. (Be able to answer all *Questions for Discussion* found at the end of each chapter.) Article 8 on the subject of *Records Management;* Continue research for Student Research Project.
Due: *March 26*

March 26 {Week 10}

Discussion of Chapter 13 & 14; Review of Test 2 (Based on instructor's ability to have all tests corrected for return to students by class time.) Article 8 informal presentations on the subject of *Records Management;* Video: *Guardian of the Public Record** {13 mins.} {Time permitting & based on the availability of the video at this time.}

Assignment 10 – Read Chapters 15 & 16 in text and be prepared to discuss them. (Be able to answer all *Questions for Discussion* found at the end of each chapter.) Article 9 on the subject of *Records Management;* Continue research for Student Research Project.
Due: *April 2*

April 2 {Week 11}

Discussion of Chapter 15 & 16, Article 9 informal presentations on the subject of *Records Management;* Class time available to work on Student Research Project – Meet with your instructor to discuss your project, if desired by student/team. *Note: It is possible that this date may be used as a date in which additional, applicable audio video materials may be presented.*

Assignment 11 – Review Chapters 13 – 16, as well as materials presented in class for *Test 3;*Read Chapter 17 in text and be prepared to discuss it.. (Be able to answer all *Questions for Discussion* found at the end of each chapter.) Article 10 on the subject of *Records Management;* Continue research for Student Research Project.
Due: *April 9*

*Materials presented in videos may be included in test questions.
**Materials presented by guest speakers may be included in test questions.

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April 9 (Week 12)
Guest Speaker: *Ms. LeAnn Johnson, Past President of the Hartford/Springfield Chapter of the Association of Records Managers & Administrators (ARMA), and who works at the CT State Records;* Article 10 informal presentations on the subject of *Records Management;* Discussion of Chapter 17, (time permitting).

Assignment 12 - -- Review Chapters 13 – 16, as well as materials presented in class for *Test 3;* Read Chapters 18 & 19 in text and be prepared to discuss them. (Be able to answer all *Questions for Discussion* found at the end of each chapter.); Continue research for Student Research Project; *Be sure to bring your text to next class meeting!*
Due: *April 16*

April 16 {Week 13}
Test 3 on Chapters 13 – 16; Video: *Guardian of the Public Record** {13 mins.} {Time permitting & based on the availability of the video at this time.} Discussion of Chapters 17 – 19, time permitting.

Assignment 13 - Continue to work on your Student Research Project; Generate a list of questions or concerns you have (if any) on your project to discuss with the instructor Due: *April 23*

April 23 {Week 14} **Regular Three Rivers Class not Meeting!**
Visit to the *Mormon Church Historical Research Center/Genealogical Records (1230 Flanders Road, Mystic, CT);* Sign-up with instructor for date to present your Student Research Project. {Depending upon the number of students/projects, this is likely to require at least two class sessions. Class size was not yet determined when this syllabus was generated. **Be aware: All written portions of the Student Research Project are due on April 30th!** *Even if the number of presentations requires three class sessions, all written materials to be evaluated by the instructor are due on the first night of presentations. (This is being done in fairness to all members of the class!);* Review of Test 3 (Based on instructor's ability to have all tests corrected for return to students by class time.)

Assignment 14 - Continue to finalize all aspects of your Student Research Project; Review all Chapters of text and related discussions. { *All* projects are due to be handed in April 30th!}
Due: *April 30*

April 30 {Week 15}
Hand in all written portions of the Student Research Project at start of class; Oral presentations of Student Research Projects; Presenters and class to complete evaluation of your delivery of materials, with special emphasis on the applicability of presentation to *Records Management.* Students who worked on their Project as a team will also evaluate the contributions made by each team member; Review and discuss materials presented in Chapters 1 – 19 of text (time permitting); Discuss any other applicable, related materials on the subject of *Records Management,* to ensure greatest inclusion of information provided the during time allotted.

Assignment 15 – Review all text materials and class notes; *If you &/or your team are giving your oral presentation at the next class, be sure to practice your delivery of the materials (including timing!)*
Due: *May 7*

May 7 {Week 16}
Oral presentations of Student Research Projects, as above.

Class Evaluation: Evaluation of the class will be distributed during this final, regular class meeting. Because this is the last regularly scheduled class meeting, students must complete the class evaluation form and deposit it in the designated envelope prior to leaving class.

May 14 Note: Possible Time Change of Class Meeting: To Be Announced!
_Final Exam (Test 4); Cumulative test on Chapters 1 – 19 of text and related discussions.

Refer to the Syllabus to identify whether you are required, or if not required, desire to take the final exam. *Discuss this with your instructor prior to the exam date if you are unsure!*

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RECOMMENDED READING LIST

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ADDITIONAL RECOMMENDED READING

Books:

1. *Effective Document Management: Unblocking Corporate Knowledge* by Bob Wiggins. 2000, Ashgate Publishing Company.

2. *Essential Elements of Local Government Records Management Legislation* by U.S. Legislative and Regulatory Affairs Subcommittee. DNG, ARMA International.*

3. *Federal Information Policies in the 1990s: Views and Perspectives (Information Management, Policies, and Services* by Peter Hernon and Charles R. McClure. 1996, Ablex Publishing Company.

4. *Guideline for Managing E-Mail* by ARMA International Standards Committee E-mail Task Force. 2000, ARMA International.

5. *Linking People to the Global Networked Society* by Charles R. McClure and John C. Bertot. 1998, ERIC Clearinghouse on Information.

6. *Managing Electronic Records, 2nd Edition* by William Saffady. 1998, ARMA International.

7. *Managing Government Records and Information* by Bruce W. Dearstyne. 1999, ARMA International.

8. *Software Directory for Records Management Systems, 10th edition* by John Phillips, CRM. 1999, ARMA International.

Magazines &/or Journals:

1. *CIO Magazine.*

2. *Government Computer News.*

3. *Information Management Journal.*

4. *Knowledge Management Magazine.*

*DNG = Date not given.

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WEEKLY ARTICLE DISCUSSION REQUIREMENTS

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1. Students are required to acquire an "article" on any aspect of the subject of _Records Management,_ due on the date detailed in Supplement "A" to the Syllabus.

2. Because a major purpose of assigning the "articles" is to augment the currency of our text on rules, policies, regulations and technology relative to the subject of _Records Management,_ no "article" is to be more than twelve months old at the time of its due date. "Articles" six months old or less are preferred.

3.

   A. For purposes of this class we will interpret the term "article" loosely. Generally, an "article" is defined as a _written_ Story, which focuses on a particular subject. Typically an "article" would be acquired from a newspaper, magazine, or professional journal.

   B. For our purposes, students are also allowed to cite "articles" (stories) which they have watched on the television or heard on the radio on the subject of _Records Management._

   C. Whether the article is submitted in accordance with the description in "3.A" or "3.B", the student must provide a full citation on the "article". ("Full citation" = Source, author, date, page number(s).)

4. Students should have three copies of their "articles". One of them should be retained by the student for their records. Two copies of the "articles" will be handed-in to the Instructor by the close of each applicable class. One copy will be used by the Instructor for grading &/or comment. The second "article" may be put on "reserve" at the Circulation Desk of the Learning Resource Center. "Articles", which are submitted and discussed in class, may be used as a bibliographic source (if germane) for the Student Research Project.

5. Students will be required, on an informal basis, to discuss the "articles" which they bring to class. The information presented should include:

   A. A brief summary of the "article" and the student's understanding of why &/or how it relates to the subject of _Records Management._

   B. The student's opinion of the article.

   C. Should they choose to (and time permits), the student may facilitate further discussion on the subject of the "article" (not to exceed five additional minutes of discussion).

EXPLANATION OF THE STUDENT RESEARCH PROJECT

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Requirements:

1. Each student is required to participate in the generation and presentation of a Student Research Project on one of the many aspects of the overall subject of *Records Management.*

2. The Student Research Project will include both a written and an oral presentation.

3. Due dates associated with the Student Research Project are found in "Supplement A" to the class Syllabus.

4. Students may work on their Research Project either individually, or as a member of a team.

5. *Written Requirements*

    A. Papers submitted by students individually are required to be 8 – 10 typed pages in length, double spaced (not including the required bibliography). Students wishing to exceed this length must receive permission to do so from the instructor. Grades for the written portion of the project received by students who obtained permission to exceed the maximum length, will be judged identically to those within the stated requirement. Students submitting 7 typed pages in length, double spaced, will receive an automatic downgrading of one full grade for the written portion of their Research Project. Papers which are less than 7 typed pages will not be accepted.

    B. Papers submitted by students working as a team are required to be 12 – 14 typed pages in length, double spaced (not including the required bibliography). Teams wishing to submit papers in excess of, or under the length requirement will find the written portion of their Research Project graded in compliance with the same standards as those working individually.

    C. Use Kate Taurabian's <u>Style Manual</u> or the <u>MLA Style Guide</u> for the format of your paper. Should you choose a different *Style Manual,* do so in consultation with and permission from your instructor. If you wish to list electronic sources in your bibliography, yet find that the edition of the *Style Manual* which you are using does not address them, go to: http://www.cobleskill.edu/lrc/guides/student/sources.htm on the World Wide Web for guidance.

    D. Bibliographies must contain, at a minimum, 10 sources. Of the 10 sources, at least 2 must be books, and 1 must be a professional journal article.

6. *Oral Presentation Requirements:*

    A. Presentations given by students on an individual basis must be at least 10 minutes, but should not exceed 15. (This does *not* include the additional time during which the class may ask the presenter questions. See *"6C."* for additional information.)

    B. Presentations given by students as a team must be at least 10 minutes X the number of students on the team. *(Example: Presentations given by a team with three members must be at least 10 X 3 = 30 minutes in duration.)* This does *not* include the additional time during which the class may ask the presenter questions. See *"6C."* for additional information.)

    C. All students should be prepared to answer questions about their presentations, either immediately afterwards, or during a session after which all the presentations for the evening have been given. (Note: The instructor will inform you which of these two schedules the Q&A period will take place on, the evening that presentations are being made. This will take place before the first presentation of the evening has begun.)

    D. In addition to the instructor, your class peers will evaluate each presentation and their evaluations will impact the outcome of your grade.

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E. If you choose to give your presentation as a part of a team, each of you will be required to evaluate the contribution made by your fellow teammates.

F. When making the oral presentation portion of your Student Research Project, it is appropriate to dress as you would for a formal presentation that you might make in a professional *Records Management* environment.

7. *Some Suggested Topics for the Student Research Project:*

A. The *Freedom of Information Act (FOIA)*. What is it and its impact (if any) on *Records Management.*?

B. *Electronic Signature.* Identify the technologies enabling it, the history of the laws and legislation governing it, and its impact (if any) on *Records Management.*

C. *Navy Marine Corp Internet (NMCI).* What is it and its impact (if any) on *Records Management?*

D. The *Paperwork Reduction Act of 1995* continues to have major impact on legislation, rules and policies related to the Management of Federal Records. Trace it and other such significant legislation through today and discuss its impact on The management of Federal Records.

E. Identify and detail the laws and legislation governing public records within the state of Connecticut. Identify and Describe their impact at the regional, county and municipal level.

F. Detail and describe an innovation technology breakthrough or trend that has/or has the potential to impact *Records Management,* and discuss in detail their impact.

G. Analyze the *Records Management* system used in the management &/or operation of your city or town. Is it effective? Is It impacted by county, region, state &/or federal mandates? Is it automated? What individual is responsible for these Records, and what is their background (education, experience, etc.) in *Records Management?* If the system is effective, Why do you think it is? If not, what do you feel should be done to make it be? Why?