University of Wisconsin-Milwaukee
School of Information Studies

INFOST 655 (Online): INFORMATION AND RECORDS MANAGEMENT
Fall 2014: September 2 – December 11

SYLLABUS

INSTRUCTOR INFORMATION
Donald Force, PhD
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Fax: 414-229-6699
E-mail: force@uwm.edu

COURSE LOCATION & MEETING TIMES
Online – D2L
This course operates on a Sunday – Sunday schedule.

COURSE DESCRIPTION
Principles and practices of information and records management: organizational information needs, retention schedules, vital records protection, micrographics, records centers and records management policy. The content of this course is not about libraries, but about the handling of business records of private companies and large institutions.

OBJECTIVES
Upon completion of the course, students will be able to:
1. Understand the basic principles of records and information management.
2. Know the applications of modern technologies used in records and information management.
3. Demonstrate knowledge of current issues related to records and information management.
4. Identify and synthesize information from the literature of the field, including internet resources (such as the records management listserv), and from the student’s own experience in a research paper for graduate students.

PREREQUISITES
This course is open to graduate students and undergraduate students with a junior standing.

COMPETENCIES
Upon completion of the course, the student should have ability to:
1. Demonstrate knowledge of records and information management in discussions, mid-term exam, presentations, and term paper.
2. Discuss issues, concerns, and personal observations as well as reading and research from the literature related to records and information management.
3. Write a term paper that gathers, analyzes, and reflects on information from the literature of the field and from the student’s own experience.
METHOD OF INSTRUCTION
Lecture, class participation, readings, and discussion. Special class aids and readings will be distributed in D2L.

EXPECTED TIME COMMITMENT
This course requires a weekly time commitment. General university guidelines indicate that a 3-credit course requires a minimum 144 hour time commitment over the semester. This time commitment represents a minimum of 9-10 hours of work per week per course. One of these hours is a video lecture and/or discussion prompt. Students are expected to do an additional 8-9 hours per week of study and work on assignments (this includes reading and responding to discussion posts in D2L) to achieve the learning goals of this course.

The general consensus is, an online course typically requires at least twice the amount of time commitment than a course taken onsite. The majority of the time spent will involve reading and responding to classmates’ posts in D2L. To be successful in an online class, you must keep up with the course lectures, readings, and discussion posts. For more information about how to succeed in an online class, see the discussion forum in D2L entitled “Being Successful in an Online Course.”

ASSIGNMENTS AND GRADING PARAMATERS

Attendance & Participation
Class “attendance” is measured through participation in discussions and evidence of completing the reading assignments. Reading assignments given in advance of discussions are designed to facilitate active participation by providing a basic level of familiarity with the topic being discussed.

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Though personal concerns may arise that cause students to participate at varying levels each week, any student who “misses” more than three weekly meetings will receive a zero (0) for his/her “Attendance & Participation” mark.

Everyone is expected to participate in all of the week’s activities as assigned on the syllabus. Regular weekly activities include:
- Discussions about the readings.
- Discussions about RIM-related issues.
- Discussions of stories that pertain to records and information management in news outlets throughout the world (i.e., RIM in the News).

Assignments
In addition to the grading parameters specified for each item, all assignments must be complete and submitted on-time to receive full credit.

Unless otherwise stipulated, all assignments must be submitted through the Dropbox area of D2L. Please contact the instructor if a problem arises.
The assignments are as follows:

**RIM in the News**

One of the objectives of this class to make students better aware of how records management issues are constantly being addressed in newspapers (Google News counts), listservs, and discussion groups such as LinkedIn and Google Groups. The purpose of this activity is twofold: (1) demonstrate how RIM issues are involved in our day-to-day lives, and (2) develop the habit of expressing our views on issues that affect not only the work of records managers and archivists but also the rights of citizens.

Each student will be required to present **two** RIM-related news items that the student found online, in local or national print media, or in the broadcast media. One assignment will be submitted to the instructor to be graded. The second assignment will be submitted in D2L and serve as part of class discussion for that week. Each student has been assigned a specific week which he/she will present his/her RIM in the News article. Non-presenting students are expected to provide follow-up discussion.

**Quizzes**

There will be four quizzes during the semester. These quizzes are designed so you pay close attention to the readings, lectures, and discussions. The quizzes will also help me understand how well you are grasping key RIM concepts presented in this class.

Each quiz will be multiple choice and/or True/False and conducted in D2L. The quizzes are not intended to be “open book” and, therefore, must be completed in a specific period of time once started.

Each quiz will be worth 5 points.

The quiz schedule is as follows

<table>
<thead>
<tr>
<th>Quiz #</th>
<th>Date of Quiz*</th>
<th>Quiz Coverage</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>September 14</td>
<td>Weeks 1 &amp; 2</td>
</tr>
<tr>
<td>2</td>
<td>September 28</td>
<td>Weeks 3 &amp; 4</td>
</tr>
<tr>
<td>3</td>
<td>October 12</td>
<td>Weeks 5 &amp; 6</td>
</tr>
<tr>
<td>4</td>
<td>November 2</td>
<td>Weeks 7, 8 &amp; 9</td>
</tr>
</tbody>
</table>

**Scenario Project**

Students will work in groups of 3 to 4, to assess a scenario and develop a written solution or improvement plan, and present the plan to an administrative body as identified in the scenario. Each student will be randomly assigned to a group, to which a RIM scenario will be assigned. Students will be required to complete a group report; a group presentation; and a self-reflection essay. Additional information about this assignment will be available on D2L.

**Late Assignments**

All assignments should be turned in on time. All assignments are due by the day and time noted on the course calendar. Assignments will be submitted electronically. Late assignments will be marked down. A **10% late penalty per day** from the total percentage will be levied for assignments turned in past the due date and time up to a **maximum of 50%**.
For example, for the Archives in the News assignment that is due on Monday, September 15, 2014, at 7:00 AM (CST):

- If you submit the assignment between September 15 at 7:01 AM and September 16 at 7:00 AM, the assignment will be graded out of 90%.
- If you submit the assignment between September 16 at 7:01 AM and September 17 at 7:00 AM, the assignment will be graded out of 80%.
- So on and so forth...
- If you submit the assignment after October 20 at 7:01 AM the assignment will be graded out of 50%.

If there are extenuating circumstances that require you to submit an assignment after its due date, please discuss this with the instructor prior to the deadline.

**Due Dates and Assignment Chart**

<table>
<thead>
<tr>
<th>Assignment</th>
<th>Graduate (Points)</th>
<th>Undergraduate (Points)</th>
<th>Due Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Attendance &amp; Participation</td>
<td>30</td>
<td>35</td>
<td>Every Week</td>
</tr>
<tr>
<td>RIM in the News</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Written</td>
<td>10</td>
<td>5</td>
<td>September 15 by 7:00 AM CST</td>
</tr>
<tr>
<td>D2L</td>
<td>5</td>
<td>10</td>
<td>Every Week</td>
</tr>
<tr>
<td>Quizzes</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Quiz #1</td>
<td>5</td>
<td>5</td>
<td>September 14</td>
</tr>
<tr>
<td>Quiz #2</td>
<td>5</td>
<td>5</td>
<td>September 28</td>
</tr>
<tr>
<td>Quiz #3</td>
<td>5</td>
<td>5</td>
<td>October 12</td>
</tr>
<tr>
<td>Quiz #4</td>
<td>5</td>
<td>5</td>
<td>November 2</td>
</tr>
<tr>
<td>Final Project</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Presentation</td>
<td>10</td>
<td>10</td>
<td>November 16 by 7:00 PM CST</td>
</tr>
<tr>
<td>Report</td>
<td>15</td>
<td>15</td>
<td>November 23 by 7:00 PM CST</td>
</tr>
<tr>
<td>Reflection Essay</td>
<td>10</td>
<td>5</td>
<td>December 7 by 7:00 PM CST</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>100</strong></td>
<td><strong>100</strong></td>
<td></td>
</tr>
</tbody>
</table>

**Grading Scale for all Students**

<table>
<thead>
<tr>
<th>Score Range</th>
<th>Grade</th>
<th>Score Range</th>
<th>Grade</th>
<th>Score Range</th>
<th>Grade</th>
</tr>
</thead>
<tbody>
<tr>
<td>100 – 96</td>
<td>A</td>
<td>76 – 74</td>
<td>C</td>
<td>79 – 77</td>
<td>C+</td>
</tr>
<tr>
<td>95 – 90</td>
<td>A-</td>
<td>73 – 70</td>
<td>C-</td>
<td>Below 60</td>
<td>F</td>
</tr>
<tr>
<td>89 – 87</td>
<td>B+</td>
<td>69 – 67</td>
<td>D+</td>
<td></td>
<td></td>
</tr>
<tr>
<td>86 – 84</td>
<td>B</td>
<td>66 – 64</td>
<td>D</td>
<td></td>
<td></td>
</tr>
<tr>
<td>83 – 80</td>
<td>B-</td>
<td>63 – 60</td>
<td>D-</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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Last Updated: 8 August 2014
**Texts**
This class does not have a required textbook. Readings will be book chapters, articles, and other assigned publications available online or through the D2L Course Site.

**Listserv**
All students are strongly encouraged to subscribe to the RECMGMT Listserv: http://lists.ufl.edu/archives/recmgmt-l.html. You may set to receive the messages in digest form (i.e., one message received each day).

**COURSE POLICIES**

**Attendance & Participation**
See above.

**Late Assignments**
See above.

**Participation by Students with Disabilities**
It is UWM policy that no student will be discriminated against because of race, color, creed, religion, sex, sexual orientation, national origin, disability, ancestry, age, pregnancy, marital or parental status, political affiliation or belief, arrest or conviction records or disabled veteran or Vietnam era veteran status. It is expected that mutual respect will be practiced in this course with regard to these factors as well as with regard to issues of academic freedom. It is the goal of the class that everyone feels comfortable in fully participating in all discussions. Anyone needing special accommodations in order to meet any of the requirements of this course, please contact the instructor as soon as possible.

**D2L and Student Privacy**
This course uses the instructional technology Desire to Learn (D2L) to facilitate online learning. D2L provides instructors the ability to view both individual data points and aggregate course statistics, including the dates and times individual students access the system, what pages a student has viewed, the duration of visits, and the IP address of the computer used to access the course website. This information is kept confidential in accordance with the Family Educational Rights and Privacy Act (FERPA), but may be used for student evaluation.

For other UWM policies applicable to this course, please see the SOIS Uniform Policy Statement for Syllabi, in the CONTENT of the D2L site.

**UWM AND SOIS ACADEMIC POLICIES**
UWM and SOIS Academic Policies are located after the semester calendar (click here to visit the academic policies).
2014 FALL SEMESTER CALENDAR

Week 1 (September 2-7, 2014): Course Overview and Introduction to Records and Information Management (RIM)

Topics
- Review course syllabus
- Review D2L site
- What is records and information management?
- What is the history of RIM?
- How does RIM differ from archival practices?
- Why is records and information management important?
- What is the status of the job market?

Required Readings

Week 2 (September 7-14): RIM Basics

Topics
- What is the difference between data, information, documents, and records?
- What constitutes a good RIM program?
- What are the resources needed to implement a successful RIM program?
- What is information governance?

Required Readings
Week 3 (September 14-21): Policies, Procedures, and Standards

Topics
- What role do policies, procedures, and guidelines have in an RIM program?
- What are The Generally Accepted Recordkeeping Principles®?
- What are key recordkeeping standards?
- Why are recordkeeping standards important?

Required Readings

Policies & Procedures

Standards
5. Review the “General Accepted Recordkeeping Principles” (The Principles):
   http://www.arma.org/r2/generally-accepted-recordkeeping-principles/metrics

Week 4 (September 21-28): Organizational Culture and Personal Information Management

Topics
- What is organizational culture?
- What is the relationship between organizational culture and records and information management?
- What is personal information management (PIM)?
- What is the relationship between PIM and records management?
- How can knowledge of organizational culture and PIM contribute to better records management practices?
Required Readings

Organizational Culture

Personal Information Management

Week 5 (September 28-October 5): Risk Management; Vital Records; Disaster Planning & Recovery

Topics
- What is risk management? Why is it important for RIM?
- What is a vital record and how it is different from an “important” record?
- What is disaster planning? What are some disaster scenarios that RIM professionals must guard against?

Required Readings

Risk Management

Vital Records
Disaster Planning & Recovery


Week 6 (October 5-12): Compliance, Privacy, and Security

Topics
- Record privacy in the workplace: does it exist?
- Records compliance: what is it and why is it important?
- How do access and privacy law affect an organization?

Required Readings

Week 7 (October 12-19): Classification

Topics
- Why is classification important?
- What is a taxonomy?
- What is functional classification and how does it differ from subject classification?
- What are the issues that must be considered when devising a taxonomy?
- What are some of the challenges of requiring employees to classify their information?

Required Readings

Week 8 (October 19-26): Retention & Disposition Schedules

Topics
- Review: What is a document? What is a record?
- Review: What are the different types of records?
- What is a retention schedule? What is a disposition schedule?
- Why are retention & disposition schedules vital components to RIM programs?
- How are retention and disposition schedules implemented?

Required Readings

Week 9 (October 26-November 2): Legal Issues

Topics
- What are the implications for organizations not adhering to legislative requirements (e.g., Sarbanes Oxley, Dodd-Frank Financial Regulatory Bill)?
- What is e-discovery?
- What are some ways that a RIM professional may help his/her organization comply with e-discovery and admissibility issues?

Required Readings
4. Review the EDRMS Model: http://www.edrm.net/resources/edrm-stages-explained

**Week 10 (November 2-November 9): Electronic Document and Records Management Systems**

**Topics**
- What role does an EDRMS have in an organization?
- What are some expected challenges when implementing an EDRMS in an organization? How might these challenges be overcome?

**Required Readings**

4. [Something about SharePoint?]
5. [Something about DoD 5015?]

**Recommended Readings**


Stephens, Chapter 12 – Software Solutions for Electronic RIM

**Week 11 (November 9-16): Case Study –Government Recordkeeping & Accountability**

**Topics**
Forthcoming

**Required Readings**
4. Tough, Alistair. “Accountability, Open Government and Record Keeping: Time to Think Again?.”


**Week 12 (November 16-23): Project Presentations & Discussion**

**Week 13 (November 23-29): NO CLASS (Gobble Gobble!)**

**Week 14 (December 1-December 7): Case Study – Healthcare Record Environments**

**Topics**
Forthcoming

**Required Readings**


**Week 15 (December 7-11): Future of RIM & Class Wrap-up**

**Required Readings**

UWM AND SOIS ACADEMIC POLICIES
The following links contain university policies affecting all SOIS students. Many of the links below may be accessed through a PDF-document maintained by the Secretary of the University: http://www4.uwm.edu/secu/news_events/upload/SyllabusLinks.pdf. Undergraduates may also find the Panther Planner and Undergraduate Student Handbook useful (http://www4.uwm.edu/dos/student-handbook.cfm). For graduate students, there are additional guidelines from the Graduate School (http://www.graduateschool.uwm.edu/students/current/), including those found in the Graduate Student and Faculty Handbook: http://www.graduateschool.uwm.edu/students/policies/expanded.

Accommodations
If you will need accommodations in order to meet any of the requirements of a course, please contact the instructor as soon as possible. Students with disabilities are responsible to communicate directly with the instructor to ensure special accommodation in a timely manner. There is comprehensive coverage of issues related to disabilities at the Student Accessibility Center (http://www4.uwm.edu/sac/), important components of which are expressed here: http://www.uwm.edu/Dept/DSAD/SAC/SACltr.pdf.

Religious Observances
Students’ sincerely held religious beliefs must be reasonably accommodated with respect to all examinations and other academic requirements, according to the following policy: http://www4.uwm.edu/secu/docs/other/S1.5.htm. Please notify your instructor within the first three weeks of the Fall or Spring Term (first week of shorter-term or Summer courses) of any specific days or dates on which you request relief from an examination or academic requirement for religious observances.

Students Called to Active Military Duty
UWM has several policies that accommodate students who must temporarily lay aside their educational pursuits when called to active duty in the military (see http://www4.uwm.edu/academics/military.cfm), including provisions for refunds, readmission, grading, and other situations.

Incompletes
A notation of “incomplete” may be given in lieu of a final grade to a student who has carried a subject successfully until the end of a semester but who, because of illness or other unusual and substantial cause beyond the student’s control, has been unable to take or complete the final examination or some limited amount of other term work. An incomplete is not given unless the student proves to the instructor that s/he was prevented from completing course requirements for just cause as indicated above (http://www4.uwm.edu/secu/docs/other/S31.pdf).

Discriminatory Conduct (Such as Sexual Harassment)
UWM and SOIS are committed to building and maintaining a campus environment that recognizes the inherent worth and dignity of every person, fosters tolerance, sensitivity, understanding, and mutual respect, and encourages the members of its community to strive to reach their full potential. The UWM policy statement (http://www4.uwm.edu/secu/docs/other/S47.pdf) summarizes and defines situations that constitute discriminatory conduct. If you have questions, please contact an appropriate SOIS administrator.
Academic Misconduct:
Cheating on exams and plagiarism are violations of the academic honor code and carry severe sanctions, ranging from a failing grade for a course or assignment to expulsion from the University. See the following document (http://www4.uwm.edu/osl/dean/conduct.cfm) or contact the SOIS Investigating Officer (currently the Associate Dean) for more information.

Complaints
Students may direct complaints to the SOIS Dean or Associate Dean. If the complaint allegedly violates a specific university policy, it may be directed to the appropriate university office responsible for enforcing the policy (http://www4.uwm.edu/secu/docs/other/S49.7.htm).

Grade Appeal Procedures
A student may appeal a grade on the grounds that it is based on a capricious or arbitrary decision of the course instructor. Such an appeal shall follow SOIS appeals procedures or, in the case of a graduate student, the Graduate School. These procedures are available in writing from the respective department chairperson or the Academic Dean of the College/School (http://www4.uwm.edu/secu/docs/other/S28.htm).

A Note on Requesting Special Consideration
Per faculty document 1927 (http://www4.uwm.edu/secu/docs/faculty/ocr/1927.pdf), special consideration may not be granted to students. This means that I cannot grant an extension or allow you to redo an assignment or earn a better participation score other than through “reasonable accommodation of verified student disability, or the completion of work missed as the result of religious observance, verified illness, or justified absence due to circumstances beyond the student's control.”