School of Library and Information Studies  
University of Oklahoma  
LIS 5473-995 Document and Records Management  
(cross-listed as LIS 4970-995 Documents and Records Management)

Summer 2013  
Online (Desire to Learn)

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Voice: 405-522-3191  
Office Hours: By appointment only. Please contact instructor by email, if possible.

COURSE DESCRIPTION  
LIS 5473 - Document and Records Management: (Cross-listed with KM 5473) Prerequisites: 5033, 5043. This course covers the systematic capture, acquisition, processing, storage, and control of documents in all formats, including their management as records throughout the life cycle from creation to final disposition. The course will offer an introduction to principles, methodologies, administration, tools, and techniques in various settings.

OBJECTIVES AND LEARNING OUTCOMES  
This course is designed to:  
1. Provide an introduction to records management as a specialized business discipline;  
2. Explain and outline the elements and benefits of a comprehensive records management plan;  
3. Provide options and tools for conducting records inventories and developing records retention schedules;  
4. Provide an overview of the nature of various record formats, including special considerations or advantages and disadvantages of each;  
5. Guide students in presenting information in an appropriate manner for a variety of audiences.

Upon successful completion of this course, students will be able to:  
1. Discuss the role of records and records management in organizations;  
2. Develop an inventory plan to identify and describe records, including vital records, in an organization;  
3. Prepare a records retention schedule for an organization, based on the content and purpose or value of the records;  
4. Outline the characteristics of well-designed records storage facilities, as well as identify key risks factors.  
5. Describe issues and concerns related to organization, access, maintenance, and management of records in various formats.
COURSE FORMAT

This course is delivered online through the Desire2Learn course management system. The course will include written lectures, readings, asynchronous discussions, written assignments, as well as individual and group learning experiences. Readings will be assigned each week.

Generally, the course will follow the following format each week:

1) Introduction

A weekly introduction will be posted in the course content area by noon on Mondays. Students should review the weekly introduction before completing the assigned weekly readings. The intent of the introduction is to introduce the topics, raise additional issues related to the topics, and provide additional information not included in the required readings. The introduction will not be a substitute for the readings. Students are responsible for all content from the weekly introductions and reading assignments.

2) Weekly Readings

The textbook for this class is:


There are also additional required readings and information resources for each week. These are available in the course content area or links will be provided by the instructor. These materials will offer additional information, examples, different points of view, and issues related to topics presented in the text.

3) Weekly Discussion

This course requires that you actively participate in the class discussions, so it is necessary that you sign into the course website several times a week, beginning each Monday, when the week’s activities begin. Begin with the weekly introduction before completing the assigned weekly readings.

Please note that the instructor has access to your login information for the class website, and will check these statistics on a regular basis. If a student is not logging in to the course website on a reasonably regular basis (at minimum, three days per week), the student may expect to be contacted by the instructor to discuss whether class attendance is going to be satisfactory for the course. If for some reason, personal or professional, you know in advance that you will be unable to log in for a given week, please notify the instructor of that fact.

Please remember that electronic communication is used regularly as part of business operations. It is expected that all discussions will be that of respectful colleagues. Note that these communications are not private. Effective communication includes concise, organized writing that considers the intended audience and their level of experience and needs.
Appropriate use of references, correct grammar, spelling and punctuation are expected. In other words, what you say and how you say it will be considered in all assignments, including discussion postings.

4) Assignments (see Appendix at end of the syllabus for details on each assignment)

Details on individual assignments will be provided throughout the semester via D2L. All assignments are to be handed in via the course dropbox by 11 P.M. on the day they are due. All late assignments will be penalized 10% per day. Assignments turned in after two calendar days of the original due date will be not be accepted.

Please use 1” margins and 12-point Times New Roman font on all written assignments (other than discussion posts). All written assignments are subject to Turnitin.com.

COURSE MATERIALS AND REASONABLE ACCOMMODATION

Course materials are available through the Desire2Learn course management system. It is assumed that everyone in this class is able to perform the following tasks:

- Access and use email daily, including sending and receiving email attachments
- Search, retrieve, and print journal articles from databases available through the University Libraries or other online sources
- Identify, access, and use web sites
- Access documents in Adobe Acrobat Reader
- Word process documents
- Access podcasts and videos online

Any students who have not yet learned these basic skills and tools should locate and complete relevant online tutorials for entry-level computer skills.

REASONABLE ACCOMMODATIONS

The University of Oklahoma is committed to providing reasonable accommodation for all students with disabilities. Any student in this course who has a disability that may prevent him or her from fully demonstrating his or her abilities should contact the instructor as soon as possible to discuss accommodations necessary to ensure full participation and facilitate educational opportunities. Students requesting accommodations are required to contact the Office of Disability Services. This office accepts requests from students for reasonable accommodation after the student has self-identified as an individual with a disability. The Office of Disability Services on the Norman campus is located in Goddard Health Center, Suite 166, phone 405/325-3852 or TDD only 405/325-4173. On the OU-Tulsa campus, students should contact the OU-Tulsa Student Affairs located in Room 1C 53.
RELATED POLICIES

Fundamentally, responsibility for education at the graduate level belongs to the individual student. Faculty provide the basic frame in which the study is undertaken, offer assistance in setting the parameters of study, and serve as facilitators and mentors. This approach to the learning environment is particularly necessary as a conceptual framework for the development of information professionals who must exercise critical thinking, analyze problems, and design solutions as a daily part of their work life, who must be independent and lifelong learners who also function effectively as team members in a diverse and dynamic information environment.

Academic Integrity

Students should review expectations for the academic integrity of work by reading and reviewing the items posted at the URLs listed below:

Academic Integrity and Misconduct: http://integrity.ou.edu/students_guide.html

Student evaluation of course and instruction

At the end of the term, each student will be asked to complete an evaluation form that offers an opportunity for students to voice opinions about the quality and relevance of course content and the quality of instruction. The instructor will not see course evaluations until after grades have been turned in to the Registrar's office. This student input is used by the instructor for improvement of teaching and by the School for annual assessment and tenure and promotion decisions among its regular faculty and for rehiring decisions among adjunct faculty. It is important that you be careful and accurate.

COURSE SCHEDULE: READINGS AND ASSIGNMENTS

Week 1-July 1, 2013—Introduction to Records Management and the Records Life Cycle

Readings:

- Saffady, Chapter 1, Records Management as a Business Discipline
- Article (Read this article after the article listed above.): “Update: Feds’ Budget Out-Paced by Volume of Information to Manage.” Information Management Journal
(May/June 2013) 47, no. 3: 6. This article is available, along with the complete issue, at www.arma.org. Select the Publications Tab, Information Magazine (left), then click the link to browse the full issue.

To Do: 1. Update your profile to include a photograph of your choice.
2. Submit at least 2 posts to Discussions on Learn by 11:00 p.m., Saturday, July 6th.

A. The first post (to be submitted by Tuesday, July 2nd, at 11:00 p.m.), should give some background about you. Please answer these questions:
  - Where are you in your degree program?
  - What type of position are you seeking after you graduate, or will you start another degree?
  - Are you a hoarder or purger?
  - What do you collect?
  - What is the most interesting record you’ve seen.

B. For the second post (to be submitted by Saturday, July 6th, at 11:00 p.m.), please identify a single record related to you or your family. Please explain the following:
  - Who created the record?
  - What is the format of the record?
  - Where do you store the record?
  - Who else has copies of the record or information contained in the record?
  - How long do you plan to maintain the record?
  - What would the impact be if the record were lost or destroyed?
You are encouraged to offer comments or related information as you like.

Week 2-July 8, 2013—Inventorying Records and Preparing Records Retention Schedules

Read:

- Saffady, Chapter 2, Preparing Retention Schedules I: Inventorying Records
- Saffady, Chapter 3, Preparing Retention Schedules II: Making Retention Decisions
- Document: ARMA-Generally Accepted Recordkeeping Principles, download and read the 10 page pdf at the link in the middle of the page.
  http://www.arma.org/r2/generally-accepted-br-recordkeeping-principles
- Document: Records Management Act, Oklahoma Statutes, 67 O.S. § 201, et seq.
  http://www.oscn.net/applications/oscn/start.asp
  Select Legal Research Tab, then Oklahoma Statutes Citationized, then Title 67 Expand, then scroll to Chapter 6, the Records Management Act.

To Do: Submit comments to Discussions on Learn by 11:00 p.m., Saturday, July 13th.
Discussion topics will be posted in the Discussion section of D2L by Monday, July 8th, at noon. First post will be due Tuesday, July 9th, at 11:00 p.m.

**Week 3-July 15, 2013—Records Retention Schedules and Vital/Essential Records**

**Read:**

- Saffady, Chapter 6, Vital Records
- Document: Oklahoma Administrative Code, 580: 16-5-9, Retention of State Agency Acquisition Records. Select View Code, Title 580, Chapter 16, Subchapter 5, Section 9. [http://www.oar.state.ok.us/oar/codedoc02.nsf/frmMain?OpenFrameSet&Frame=Main&Src=75tnm2shfcdnm8pb4dthj0chedpmcbq8dtnmak31ctijuqgcln50ob7ckj42 bkdt374obdclio0](http://www.oar.state.ok.us/oar/codedoc02.nsf/frmMain?OpenFrameSet&Frame=Main&Src=75tnm2shfcdnm8pb4dthj0chedpmcbq8dtnmak31ctijuqgcln50ob7ckj42 bkdt374obdclio0)

**To Do:** Submit comments to Discussions on Learn by 11:00 p.m., Saturday, July 20th. Discussion topics will be posted in the Discussion section of D2L by Monday, July 15th, at noon. First post will be due by Tuesday, July 16th, at 11:00 p.m. Submit Assignment A2-Readings Review. Due at the end of Week 3, Saturday, July 20th, 11:00 p.m.

**Week 4-July 22, 2013 Records Storage Operations and Risks to Records**

**Read:**

- Saffady, Chapter 4, Records Centers
• Article: Carmicheal, David. “11 Lessons Katrina Taught Me.”
  http://www.statearchivists.org/prepare/11%20lessons%20katrina%20taught%20me.pdf
• Document: Essential Components of a Records Storage Facility, New York State Unified
  Court System, Division of Court Operations, Office of Records Management, June 2003
  http://www.nycourts.gov/admin/recordsmanagement/pubs_training/essential-comp-
  rec-storage.pdf
• Article: Faber, Michael J. “Think Outside the Box When Relocating a Records Center.”
  Information Management Journal (July/August 2010) 44, no. 4, pages 42 - 45.
  (Academic Search Premier, EBSCOhost)

To Do: Submit comments to Discussions on Learn by 11:00 p.m., Saturday, July 27th.
First post will be due by Tuesday, July 30th, at 11:00 p.m.

Submit Assignment A3-Evaluation of a Records Retention Schedule. Due at the end of Week 4,
Saturday, July 27, 11:00 p.m.

Week 5-July 29, 2013-Managing Paper Records and Document Imaging

Read:
• Saffady, Chapter 5, Document Imaging Technologies
• Saffady, Chapter 7, Managing Active Paper Records
• Article: Chester, Bernard. "The Long Tail of Document Imaging and Its Impact on
  Business Scanning." Infonomics 24, no. 2, pages 38 - 41. (Library Literature &
  Information Science Full Text (H.W. Wilson), EBSCOhost)
• Article: Empel, Sofia. "How to Evaluate New Technologies for RIM Impact." Information
  Management Journal 46, no. 6 (November 2012): pages 36-40. (Academic Search
  Premier, EBSCOhost)
• Article: Kingsley, Lawrence. "8 Tips for Raising Data From the Dead." Information
  Management Journal 46, no. 4 (July 2012): pages 30 - 33. (Academic Search Premier,
  EBSCOhost)

To Do: Submit comments to Discussions on Learn by 11:00 p.m., Saturday, August 3rd.
Discussion topics will be posted in the Discussion section of D2L by Monday, July 29th, at noon.
First post will be due by Tuesday, July 30th, 11:00 p.m.

Submit Assignment A4-Records in the News. Due at the end of Week 5, Saturday, August 3rd,
11:00 p.m.

Week 6-August 5, 2013-Electronic Records

Read:
• Saffady, Chapter 8, Digital Documents
• Article: Hoke, Gordon E. J. “Future Watch: Strategies for Long-Term Preservation of
  Electronic Records.” Information Management Journal (May/June2012) 46, no. 3, pages
  26 – 31. (Academic Search Premier, EBSCOhost)
- Article: Richardson, Blake. “Digital Dusting: Spring Cleaning for Network Drives.” Information Management Journal (May/June 2013) 47, no. 3, pages 42 – 45. This article is available, along with the complete issue, at www.arma.org. Select the Publications Tab, Information Magazine (left), then, click the link to browse the full issue.


To Do: Submit comments to Discussions on Learn by 5:00 p.m., Saturday, August 10th. Discussion topics will be posted in the Discussion section of D2L by Monday, August 5th, at noon. First post will be due by Tuesday, August 6th, 11:00 p.m.

Submit Assignment A5-Memo To Management. Due at the end of Week 6, Saturday, August 10th, 11:00 p.m.

**Week 7-August 12, 2013-Trends, Issues, and Current Events in Records Management**

Read:


To Do: Submit comments to Discussions on Learn by 5:00 p.m., Friday, August 16th. Discussion topics will be posted in the Discussion section of D2L by Monday, August 12th, at noon. First post will be due by Tuesday, August 13th, 11:00 p.m.

Submit Assignment A6-Annotated Bibliography by 5:00 p.m., Friday, August 16th.

**Assignments and Course Grades**

Details on individual assignments will provided throughout the course. Assignments are to be submitted via the course dropbox by the time noted for each assignment on the day they are due. All late assignments will be penalized 10% per day. Assignments turned in after two calendar days of the original due date will be not be accepted.

Please use 1” margins and 12-point Times New Roman font, and a consistent citation method of your choice when referring to specific sources. All written assignments are subject to Turnitin.com.
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<th>Assignment</th>
<th>Name of Assignment</th>
<th>Due Date</th>
<th>Percent of Grade</th>
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<td>A1</td>
<td>Discussion-Weekly</td>
<td>Weekly, See assignment.</td>
<td>10</td>
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<td>A2</td>
<td>Readings Review</td>
<td>End of Week 3</td>
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<td>A3</td>
<td>Memo-Evaluation of a Records Retention Schedule</td>
<td>End of Week 4</td>
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<td>A4</td>
<td>Records In the News</td>
<td>End of Week 5</td>
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<td>A5</td>
<td>Memo-Memo to Management</td>
<td>End of Week 6</td>
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<td>Saturday, 8/10, 11:00 p.m.</td>
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<td>A6</td>
<td>Annotated Bibliography</td>
<td>End of Week 7</td>
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Final grades will consist of the total points for all assignments. Letter grades will be assigned as follows:

A: 90 - 100  
B: 80 - 89  
C: 70 - 79  
D: 60 - 69  
F: 59 and below

**Grades of Incomplete:**

The Graduate College has strict conditions under which a student is given an incomplete in a regularly scheduled, letter-graded course. A grade of Incomplete (I) will be given only for a justifiable reason (due to unavoidable circumstances, not lack of planning on the student's part) and only if the student is passing the course. It is the responsibility of the student to request a grade of I and to meet with the instructor as early as possible to determine the requirements for completing the course. Any incomplete granted must be removed by the deadline specified by the instructor. The time limit set for removal of an incomplete will take into account the circumstances of the situation but may not exceed one calendar year.