University of Maryland
College of Information Studies

INST 646:
Principles of Records and Information Management

Summer 2021 | Online | Asynchronous
Course Dates: June 1 – August 20
Instructor: Caitlin Christian-Lamb
Pronouns: she/her/hers
Office Hours: Available via Zoom (https://umd.zoom.us/my/cclamb) by appointment
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COURSE DESCRIPTION:

The course will provide a conceptual and practical understanding of the principles and practices of managing records in the context of information management programs in government, corporate and other institutional settings. Includes access; legal requirements; digital technologies; and creation, administration, appraisal, and retention and disposition of records.

LEARNING OUTCOMES & COURSE OBJECTIVES:

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 records management listservs), and from the student's own experience in a research paper/project for students.

COURSE STRUCTURE:

This course will be primarily taught asynchronously online using Canvas/ELMS; course content is accessible via http://elms.umd.edu ("INST646"). The primary methods of instruction for this course will be pre-recorded lectures and interviews, course readings, presentations, and online discussion. The course is organized into two-week modules, as shown in the course schedule beginning on page TK. All assignments will be due by 11:59 PM on the last day of the module and are noted in the course schedule.

Tips for Success in an Online Course:

1. **Participate.** Discussions are a critical part of the course. You can learn a great deal from discussing ideas and perspectives with your peers and professor. Participation can also help you articulate your thoughts and develop critical thinking skills.
2. **Manage your time.** Make time for your online learning and participation in discussions each module. Give yourself plenty of time to complete assignments including extra time to handle any technology related problems.
3. **Login regularly.** Log in to Canvas/ELMS several times per module to view announcements, discussion posts and replies to your posts.
4. **Do not fall behind.** This class moves at a quick pace and each week builds on the previous. It will be hard to keep up with the course content if you fall behind in the pre-work or post-work.
5. **Use Canvas/ELMS notification settings.** Canvas/ELMS can ensure you receive timely notifications in your email or via text. Be sure to enable announcements to be sent instantly or in a daily digest.
6. **Ask for help if needed.** If you need help with Canvas/ELMS or other technology, IT Support. If you are struggling with a course concept, reach out to me and/or your classmates for support. I am always available for questions about course content, concepts, or assignments – there are no such things as "stupid" questions!

COURSE POLICIES:

Course Participation. Students are expected to actively participate through the class discussion boards/threads in Canvas. For each module, I will be posting one or two general discussion questions or prompts – you should plan on posting at least twice per discussion question, once as an initial response and a second time to respond or react to a classmate's posts. See a more detailed explanation of expectations for graded discussion forum posts below, in the "Assignments & Evaluation" section of this syllabus.

I hope that this is unnecessary, but a word about my expectations for our online discussions: Please remain professional and respectful at all times. If you disagree with a fellow student, do so politely. If you have a problem with a fellow student's tone or behavior, please bring this to my attention and I will follow up. Any behavior (including harassment, sexual harassment, and racially and/or culturally derogatory language) that threatens this atmosphere will not be tolerated. Please alert me immediately if you feel threatened, dismissed, or silenced at any point during our semester together and/or if your engagement in discussion has been in some way hindered by the learning environment.

Textbook & Course Materials. There will be no assigned textbook for this course. All readings are available on Canvas as either .pdfs or URLS, in the "Readings" folder located in the "Files" section.

Syllabus Change Policy. This syllabus is a guide for the course and is subject to change with advance notice.

Submitting Assignments. Each assignment must be submitted by 11:59 p.m. on the indicated due date through our Canvas/ELMS site ("INST646"). Please remember to include your name on all of your work. Written work should be proofread and revised as necessary before you submit it. See the "Assignment & Evaluation" section below for more details.

Late Work. In general, unless you are facing an emergency situation and you request an extension from me at least 48 hours in advance of the due date, late work will automatically be graded down by 10% for each day that it is late. However, I recognize that we have been living through a particularly difficult time, and you may be facing unusual circumstances or that there may be sudden changes of plans, so I will endeavor to be as lenient as possible. But please communicate with me about your need for additional time!

Academic Integrity. It is important that you practice academic honesty in all aspects of the class. Much of your learning happens when you challenge yourself to produce original work. You should familiarize yourself with violations of the Code of Academic Integrity. Among these include:

- *Cheating*: Intentionally using or attempting to use unauthorized materials, information, or study aids in any academic exercise.
- *Fabrication*: Intentional and unauthorized falsification or invention of any information or citation in an academic exercise.
- *Facilitating Academic Dishonesty:* Intentionally or knowingly helping or attempting to help another to commit an act of academic dishonesty.
- *Plagiarism:* Intentionally or knowingly representing the words or ideas of another as one's own in an academic exercise.

For further clarification or information on the Code of Academic Integrity: https://www.president.umd.edu/administration/policies/section-iii-academic-affairs/iii-100a.

Students with Disabilities. The University provides accommodations for students with disabilities. The campus' Accessibility & Disability Service (ADS) works with students and faculty to address a variety of issues ranging from test anxiety to physical and psychological disabilities. If you think you may have a disability, you should consult with ADS (https://www.counseling.umd.edu/ads/; 301-314-7682; adsfrontdesk@umd.edu). To receive accommodations, you must first have your disabilities documented by ADS. Once notified, ADS prepares an Accommodation Letter for course instructors regarding needed accommodations. Students are responsible for presenting this letter to their instructors.

Statement of Support Students with Children. I welcome and support students who are parents. I appreciate that parenthood presents unique challenges and demands on a student's time and availability. If childcare constraints present an issue with timing around course assignments, I invite student parents to work with me to discuss alternate arrangements. I also welcome and support pregnant students and will provide possible accommodations and discuss arrangements so that students can complete course requirements.

Names/Pronouns and Self-Identifications. The University of Maryland recognizes the importance of a diverse student body, and we are committed to fostering inclusive and equitable classroom environments. I invite you, if you wish, to tell us how you want to be referred to both in terms of your name and your pronouns (he/him, she/her, they/them, etc.). The pronouns someone indicates are not necessarily indicative of their gender identity. Visit trans.umd.edu to learn more. Pronouns can also be added to your name/profile on Canvas/ELMS.

Additionally, how you identify in terms of your gender, race, class, sexuality, religion, and dis/ability, among all aspects of your identity, is your choice whether to disclose (e.g., should it come up in classroom conversation about our experiences and perspectives) and should be self-identified, not presumed or imposed. I will do my best to address and refer to all students accordingly, and I ask you to do the same for all of your fellow Terps.

Emergency Preparedness. For complete information, please visit: https://prepare.umd.edu/.

UMD COVID-19 Information. Information about clearance to visit campus in person, COVID-19 testing, guidelines for Fall 2021, and other 4Maryland campaign information, can be found here: https://umd.edu/4Maryland. Current data related to COVID-19 cases and vaccination rates on and around campus can be found via by the UMD COVID-19 Dashboard: https://umd.edu/covid-19-dashboard.

CourseEvalUM. Course evaluations are a part of the process by which the University of Maryland seeks to improve teaching and learning. The University Senate approved the implementation of a standard, online, University-wide course evaluation instrument. Each course evaluation contains a set of universal questions, and some are supplemented by questions from specific colleges. Across the University, course evaluations are being administered through a web-based system dubbed CourseEvalUM. Students who leave no "Pending" evaluations in their Evaluation Dashboard each semester can view the aggregate results of a sub-set of universal items online.

All information submitted to the Evaluation System is confidential. Instructors and academic administrators can only view summarized evaluation results after final grades have been submitted. Instructors and academic administrators cannot identify which submissions belong to which students. This standardized set of evaluation results provides the University with useful information on teaching and student learning across the campus.

For additional info see CourseEvalUM Help Center at:
https://confluence.umd.edu/display/courseeval/CourseEvalUM+Help+Center.

ASSIGNMENTS & EVALUATION:

You will receive various forms of feedback (such as written comments and one-on-one consultations) on your class performance. Keep in mind that grades are only one type of indicator of learning and progress in this course. Grades will be based on the quality of your assignments and classroom engagement. If at any point during the semester you are in need of additional guidance or explanation on how your assignments are graded, please do not hesitate to set up an appointment with me so we can explore ways to ensure that you are meeting the expectations of the course. Grade distribution shall be as follows:

Learning Assessments	Percent
Participation (active involvement in discussions)	30%
Assignment 1: Personal Information Management Paper	15%

Assignment 2: Analysis of a RIM Controversy Paper	15%
Student Presentation of RIM Controversy	15%
Final Paper	25%

There are five graded assignment types, as described above. Instructions for each will be made available on the Canvas/ELMS course site, on each individual assignment page.

Citation and Formatting. Use standard professional formatting (double spacing, 1" margins, Times New Roman, 12-point font) for all assignments. Be sure to organize your papers, using section and subsection headings to identify portions of your work. It is also good practice (especially as budding records managers!) to use a file naming convention – for this course, please submit assignments using this convention: "AssignmentName_YourLastName.filetype" (i.e. "Assignment1_ChristianLamb.docx").

For citations, use the *Chicago Manual of Style* (Notes and Bibliography) or APA (American Psychological Association). In the iSchool there are many different subfields and different preferred citation styles for the major journals within each; if there is another style that is more commonly used in your area of expertise and you wish to use that style, please discuss with me. The Purdue OWL is a good resource if you have questions about aspects of each citation style.

Students are expected to submit all class requirements in a timely manner. As mentioned above, late submissions will be accommodated if discussed with me. If you require an extension, please let me know so we can explore alternative arrangements.

Course Participation (30%). Students are expected to actively and productively participate through the class discussion boards in Canvas. For each module, I will be posting one or two general discussion questions will be posted for each two-week module. For each of these discussions, you are expected to make a minimum of two posts – one of these should be a response to a fellow classmate's post. You will also have the opportunity to initiate discussions and bring related material to our attention (such as breaking news on records management and related fields) in the various course discussion forums.

General Discussion Questions: Contributions will be assessed based on substance, the incorporation of reading materials, and your insights/assessment. I do not have hard and fast rules regarding the expected length of discussion posts, as I evaluate them based on quality, rather quantity – 150 words is a good ballpark figure though. A few other discussion post guidelines:
- Add something new to the discussion. If you don't post until later in the module, I understand that this can be difficult sometimes. But you can still explain why something a classmate says resonated with you or ask a follow-up question!
- Whenever possible, incorporate weekly readings or other relevant sources (quoting small passages is acceptable - try to limit quotes to no more than a few lines)
- Where appropriate, recognize earlier contributions from other students
- Your first post on the discussion thread should be responding to the question prompt; the second should be in response to a classmate's post.

Personal Information Management Paper (15%). This paper will ask you to submit a write-up addressing the methods in which you currently manage your own personal records and information

(both electronic and physical). This paper should be roughly 4-5 pages long, double-spaced and following the citation and formatting conventions described above. The paper should address the following:

- identify all of the types of information you maintain in various electronic and physical locations (cloud storage, e-mail, social media applications, file cabinets, local devices, photo albums, media, etc.);
- describe how this content is managed throughout the information lifecycle from creation, storage and protection, retrieval/access, retention and disposition;
- discuss what methods and controls you apply to your own personal information and describe your general approach to managing your personal information;
- and indicate where you have encountered issues with the implementation of your approach and provide your thoughts about how you may be able to better manage your information based upon your past experiences.

Analysis of a RIM Controversy (15%). One of the objectives of this class is to make students better aware of how prevalent records and information management issues are in society. Each student will be required to research a RIM controversy of their own choosing and submit a write-up of approximately 4-5 pages double-spaced that discusses the RIM-related issues that were raised in connection with the controversy. If you need suggestions for controversies, get in touch with me and I can provide some examples and potential topics. The paper should:

- summarize the historical context of the controversy at issue;
- discuss the major issues involved;
- include 3-5 references relating the controversy to the lectures and assigned readings (does it relate to a concept in the readings, bring out additional points, cover points that the readings miss, contradict one or more of the assigned readings, etc.), and
- contain a conclusion: what is the value/lesson for records and information management professionals?

Student Presentation (15%). Based on each student's Assignment 2 paper (analysis of a RIM controversy), students will be expected to record a presentation summarizing their paper, consisting of visual aids (such as PowerPoint, Prezi etc.). Presentations should be approximately 5 minutes long. Answering questions posed by your peers in relation to your talk, and interacting with peers' presentations will be evaluated as part of your grade for this assignment. Your slides should:

- provide a summary of key points in your paper;
- describe any connections to readings in the syllabus;
- include 2-3 thought provoking questions to stimulate further discussion (at the instructor's option, selected presentations may become topics for discussion boards.)

Final Paper (25%). The final paper will closely examine the recordkeeping practices of a specific institution in the public or private sector of each student's choosing, and to make recommendations for improvement. As part of this exercise, students will be expected to contact one or more individuals within their chosen institution for the purpose of asking questions concerning recordkeeping practices. Assistance will be given if needed in locating knowledgeable records officers, archivists, IT staff, lawyers, or others within an institution if needed. The final paper should be between 8-12 double-spaced pages. Midway through the semester I will schedule consultations with each student to discuss their chosen institution and progress towards the final paper. The paper

should include:

- an overview and detailed description of the recordkeeping practices of the institution;
- references connecting the observed recordkeeping to the syllabus readings and class discussions;
- recommendations for improving current recordkeeping practices.

Grade Total. The weighted average of your grades on all of the assignments (including your class participation grade) will be converted to a letter grade according to the following table:

Weighted Average	Letter Grade
97.0 and above	A+
94.0-96.9	A
90.0-93.9	A-
87.0-89.9	B+
84.0-86.9	B
80.0-83.9	B-
77.0-79.9	C+
74.0-76.9	C
70.0-73.9	C-
67.0-69.9	D+
64.0-66.9	D
60.0-63.9	D-
Below 60.0	F

COURSE OUTLINE & SCHEDULE:

Module	Date	Topic	Readings	Deadlines
1	June 1 – June 13	Introduction to the Course; Recordkeeping Past & Present; Theoretical Roots of Records Management	Atherton, J. (1985). From life cycle to continuum: Some thoughts on the records management – archives relationship. *Archivaria*, 21, pp. 43-51. Cook, T. (1993). Electronic Records, Paper Minds: The revolution in information management and archives in the post-custodial and post-modernist era. *Archives and Manuscripts* 22:2, pp. 300-328. Dollar, C. (1993). Archivists and Records Managers in the Information Age. Archivaria 36 (Jan.), pp. 37-52. Duranti, L. (1989). The Odyssey of Records Managers (Parts I & II), *Records Management Quarterly* 23:3-4, pp. 3-11. McKemmish, S. (2001). Placing records continuum theory and practice. *Archival Science*, 1:4, pp. 333–359.	

			Oliver, G. (2017). Managing Records in Current Recordkeeping Environments, in H. Macneil & T. Eastwood, *Currents of Archival Thinking,* pp. 83-106.	
			Biz Fluent (2017). History of Computers in the Workplace.	
			Trace, C. (2002). What is Recorded is Never Simply `What Happened': Record Keeping in Modern Organizational Culture. *Archival Science* 2, pp. 137-159.	
			U.S. National Archives (2013). Word of the Week: Lifecycle (video). National Records Management Training Program.	
			University of British Columbia (2017). Records Management Advanced: Archival Records (video).	
			Supplemental Reading (Optional) Duranti, L. (1999). Concepts and principles for the management of electronic records, or records management theory is archival diplomatics. *Records Management Journal,* 9:3, pp. 149-171.	
			Greene, M., et al. (2001). The Archivist's New Clothes, or, the Naked Truth About Evidence, Transactions, and Recordness. *University of Michigan Sawyer Seminar.*	
			Lemieux, V. (2001) Let the Ghosts Speak: An Empirical Exploration of the "Nature" of the Record. *Archivaria* 51 (Jan.), pp. 81-111 (available on ELMS)	
			Scanlan, K. (2011) "ARMA v. SAA: The History and Heart of Professional Friction," *The American Archivist* 74:2, pp. 428-450.	
			Schellenberg, T.R. (1965). The Management of Archives, http://www.archivists.org/publications/epubs/ModernArchives-Schellenberg.pdf (chapters 4 & 6).	
			Yeo, G. Continuing Debates about Description, in H. Macneil & T. Eastwood, *Currents of Archival Thinking,* chap. 6, pp. 163-192.	
2	June 14–June 27 [Juneteenth holiday observed during this module]	Recordkeeping & Information Governance; Legal, Regulatory, & Compliance Issues	Ardern, C. (2013). From records management to information governance: a look back at the evolution. *ARMA Canada.* ARMA Generally Accepted Recordkeeping Principles (2015). Brooks, J. (2019). Perspectives on the Relationship between Records Management and Information Governance. Records Management Journal 29:1/2, pp. 5-17.	Assignment 1: Personal Information Management Paper due by 11:59 PM on June 27.

GDPR – A Simple Explanation (2018). https://www.youtube.com/watch?v=6pzPKaJeRCw.

Montana, J. (2018). Information Management and the Courts - An update. *ARMA International Educational Foundation*.

Sloan, P. (2014). The compliance case for information governance. *Richmond Journal of Law and Technology* 20:2.

Smallwood, R. 2020. *Information Governance and Records and Information Management Functions, Information Governance: Concepts, Strategies and Best Practices* (2d ed.), chap. 9, pp. 161-210.

Supplemental Reading (Optional)
Baron, J.R.& Marcos, A. (2015). Information Governance: Establishing A Program and Executing Initial Projects. *Practical Law: The Journal*, Oct./Nov., pp. 24-33.

De Mingo, C. and Cerrillo-I-Martínez, A. (2018). Improving Records Management to Promote Transparency and Prevent Corruption. *International Journal of Information Management* 38:1, pp. 256-261.

Xie, S. (2016). Retention in "the right to be forgotten" scenario: A Records Management Examination. *Records Management Journal* 26:3.

| 3 | June 28 – July 11 [July 4th holiday observed during this module] | Standards, Guidelines, & Policies; Program Administration & Corporate Governance | ISO 16175 – What you need to know.

ISO 15489:2016 Records Management (excerpts available on ELMS).

Findlay, C. (2018). Appraisal: A strategic tool for modern recordkeeping.

Healy, S. (2010). ISO 15489 Records Management: its development and significance. *Records Management Journal*, 20:1.

Pember, M. Sorting Out the Standards: What Every Records and Information Professional Should Know. *Records Management Journal*, 16:1.

Katuu, S. (2015). Managing digital records in a global environment: A review of the landscape of international standards and good practice guidelines. *The Electronic Library*, 34:5. | Assignment 2: Analysis of a RIM Controversy Paper due by 11:59 PM on July 11. |

| 4 | July 12 – July 25 | Electronic Records Management Systems; Metadata; Retention & Disposition Strategies | Bailey, S. (2009). Forget electronic records management, it's automated records management that we desperately need. *Records Management Journal,* 19:2, pp. 91-97.

Electronic Records Management Guidelines (2012). Minnesota Historical Society.

Gable, J. (2009). Examining metadata: its role in e-discovery and the future of records managers. *Information Management Journal*, 43:5.

McDonald, J., Léveillé, V. (2014). Whither the retention schedule in the era of big data and open data? *Records Management Journal.*

National Archives of Australia (2017). Meta. . . What? Metadata! (video).

Smallwood, R. 2020. Information Organization and Classification: Taxonomies and Metadata. *Information Governance: Concepts, Strategies and Best Practices* (2d ed.), Appx. A, pp. 433-461.

Washington State Archives (2016). Records Schedules "De-Mystified." (video)

Supplemental Reading (Optional)
Gregory, K. (2005). Implementing an electronic records management system: A public sector case study. *Records Management Journal*, 15:2, pp. 80-85.

Hedstrom, M. (1997). Building record-keeping systems: Archivists are not alone on the wild frontier, *Archivaria* 44, pp. 44-71.

Vital Records Control. 5 Essential Records Management Procedures.

Weimei, P. (2017). The Implementation of Electronic Recordkeeping Systems: An Exploratory Study of Socio-Technical Issues. *Records Management Journal* 27:1, pp.84-98. | Student Presentations due by 11:59 PM on July 25 (peer comments and responses can be ongoing until the end of the semester). |
| 5 | July 26 – August 8 | Government Recordkeeping; Mitigating Risks: Long-Term Preservation & Disaster Planning | Artsdalen, A. (2017). How to Develop a Vital Records Program Project Plan. *Information Management Journal* 51, no. 6 (2017): 33-36.

Baron, J.R., "The PROFS Decade: NARA, E-mail and the Courts," in B. Ambacher, *Thirty Years of Electronic Records* (2003), pp. 105-138. | |

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Congressional Research Service (2016). [Access to Government Information in the United States: A Primer](#).

Lappin, J., et al. (2019). The defensible deletion of government email. *Records Management Journal*, 29: 1-2, pp.42-56.

Jones, V. (2011). How to Avoid Disaster: RIM's Crucial Role in Business Continuity Planning. *Information Management Journal* 45, no. 6 (2011): 36-40.

OMB M-19-21 (2019). [Transition to Electronic Records](#).

Schneider, T. (2020). [The moving target of electronic records management,](#) *Federal Computer Week*.

U.S. Department of Commerce (2020). [Social media and Web 2.0 policy](#).

Supplemental Reading (Optional)
[Final Report of the 2018-2020 Freedom of Information Act Federal Advisory Committee](#) (2020).

Kriesberg, A. (2017). The future of access to public records? Public–private partnerships in US state and territorial archives. *Archival Science*, *17*(1), 5-25.

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<td>August 9 – August 20</td>
<td>Searching for Responsive Records; Access Issues; Emerging Technologies</td>
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Glassman, D. (2019). Facebook is creating records -- but who is managing them? *Archives and Manuscripts* 48:1, pp. 45-58.

Santangelo, J. (2009). Rise of the Machines: The Role of Text Analytics in Record Classification and Disposition. *Information Management Journal* 43, no. 6 (2009): 22-26.

Serewicz, L. (2010). Do We Need Bigger Buckets or Better Search Engines?: The Challenge of Unlimited Storage and Semantic Web Search for Records Management. *Records Management Journal* 20:2, pp. 172-181

Smith, D. (2013). Thinking Outside the Box: Use Predictive Coding As a RIM Tool. *Information Management,* pp. 30-32.

Supplemental Reading (Optional)
Hedstrom, M. L., Lee, C. A., Olson, J. S., & Lampe, C. A. (2006). "The Old Version Flickers More": Digital Preservation from the User's Perspective," *American Archivist* 69:1, pp. 159-187.

Sodring, T. (2020). A Recordkeeping Approach to Managing IoT

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Final Paper due by 11:59 PM on August 20.

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			data for government agencies, *Records Management Journal* 30:2, pp. 221-239.	