

**School of Information
Sciences (SIS)
University of Tennessee-
Knoxville**

IS 564

J. Michael Pemberton

**IS 564
CORPORATE INFORMATION SYSTEMS**

Spring, 2000

Class Meetings:

2:10-4:55 Tuesday

205 Temple Court

Office Hours:

Tuesday: 10:00--11:45, 1:15--2:00

And By Appointment

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PURPOSE OF COURSE

This course introduces the primary values, rationales, concepts, terminology, practices, techniques, and some professional issues in the disciplines of 1) records management (RM), 2) archives management, and 3) imaging technologies/systems within the larger, or umbrella, field of information management (IM).⁽¹⁾ This course will broaden the student's understanding of organizational/corporate information

services, which are increasingly integrated under one functional/departmental area.

DEFINING THE FIELD

"Information management" is a term appropriated by virtually all the IM fields for their "exclusive" use. IM is more usefully and accurately defined, perhaps, by the following :

[information management is the] application of management principles to the acquisition, organization, control, dissemination, and use of information relevant to the effective operation of organizations of all kinds. 'Information' here refers to all types of information of value, whether having their origin inside or outside the organization, including data resources, such as production data; records and files related, for example to the personnel function; market research data; and competitive intelligence from a wide range of sources. Information management [also] deals with the value, quality, ownership, use and security of information in the context of organizational performance. (2)

Staff involved in IM, then, might include librarians, records managers, archivists, Management Information Systems (MIS) specialists/directors, and others. "Information management" doesn't *mean* "computer applications"; these are but one set of tools for the larger construct--a means, then, not an end. Not every information need is a computer application. Also, we should notice that there are differences implied here between the management of organizational information resources and the use of library materials for developing/expanding one's personal knowledge/education/cultural interests.

HISTORICAL BACKGROUND

The origins of RM are much older than most in the field realize. In about 8000 B.C.E. in the Tigris-Euphrates Valley (present-day Iraq), pre-literate societies created "business" records using clay tokens made in a wide variety of geometric shapes to represent a range of traded commodities and craft goods in different quantities. This Neolithic system prevailed for several millennia, with increasingly complexity, until about 3500 B.C.E., when the better-known cuneiform system of writing on clay tablets emerged from the older system. (See the assigned reading by Duranti, below, for the subsequent developments.) Thus, the use of "business" or "corporate" recordkeeping precedes that for religious, political, literary, or other intellectual purposes.

For our more immediate needs, it is worth knowing that RM provides organizations of all types an approach rooted in the rise in the U.S. of "scientific management" (ca. 1880-1925) and administrative, or office, management (ca. 1915). The field of records management as we know it by that name arose during WW II at the U.S. National Archives and latter as a result of the two [Herbert] Hoover Commissions on the organization of the Executive Branch of the federal government (late '40s and early '50s). The use of records management techniques spread from the federal sector to business, industry, state governments, educational systems, and not-for-profit institutions as a means of managing information processing activities and achieving greater control over the organization's information resources.

SCOPE OF THE FIELD

In content, this type of information "business records"--is most often of an *unpublished* type, which is created *internally* and *received from* other organizations in various *formats* (e.g., letters, memoranda, policy documentation, printed forms, reports, invoices, personnel files, computer output microforms [COM], charters, licenses, etc). The interest of the Records Manager is not limited by type of media. The type of information of interest to RM, then, is largely unrelated to library materials (i.e. published,

widely available). Likewise, RM's fundamental rationales are rooted in management concerns about productivity, effectiveness, and cost-efficiency while a public or academic library's rationales are more typically aligned with personal knowledge as well as social, humanistic, cultural, educational, and even aesthetic agenda, issues, and values.

The **comprehensive** records management program--a virtual necessity in large organizations--attempts to address the creation, distribution, use, retention, utilization, storage, retrieval, protection, preservation, and ultimate disposition of all records, regardless of the technology used to create them or the physical medium (paper, microfilm, optical disc, etc) that contains them. Only about 10% of U.S. business records are, in fact, digitized or microfilmed.⁽³⁾ There is some irony, then, in that fact that most of the information R&D dollar in the U.S. goes to computer-based systems.

Basic I/RM objectives include:

- (1) *reduction of costs* (e.g., labor, materials, equipment, supplies, and space) in handling, or processing, an organization's recorded information congruent with organizational goals and managerial effectiveness,
- (2) development of cost-effective and efficient *policies and procedures*--including the qualities of being legally and technologically sound--for optimal creation, acquisition, storage, retrieval, duplication, dissemination, analysis, and disposition of information,
- (3) creation and maintenance of practices which will best insure *proper litigation support*, and
- (4) provision of information support and *expertise in the selection and application of information technologies*.

A mnemonic and useful--if informal--statement of purpose for IM/RM--and information management more generally--is: "getting the right information to the right person at the right time in the right order in the right format in the right amount at the lowest reasonable cost."

While the terms "archives" or "archival" are used rather loosely by the general public and the data management disciplines, they have a specific and traditional meaning in the professional circles of interest to us. Within the larger framework of an organization's records, *archival records* are those 3%-5% of the total body of an organization's records, created in the normal course of business, which are to be *permanently retained* for use because of their historical, legal, fiscal, or informational values.

COURSE OBJECTIVES

By term's end, each student should have:

1. Acquired an understanding of basic terminology, principles and practices as well as functional structures of RIM programs and an awareness of the types of institutions which practice this form of information management.
2. Acquired insight into the nature of the field in terms of the characteristics, activities, placement of its practitioners, and the professional concerns of the discipline.
3. Become aware of some of the principal information technologies and applications which support I/RM applications (e.g., source-document microfilming, engineering-drawing micrographics, computer-

output-microfiche, computer-assisted retrieval (CAR) systems [computer dbms index plus microfilmed source documents], optical disc [a.k.a. "electronic imaging systems"], fax, E-mail, scanning technologies, dictation systems).

4. Using case problems, be able to apply principles and techniques of I/RM (one from each chapter of main text will discussed in class)

5. Observed records management/archives programs and had an opportunity to observe/talk with practitioners in order to better understand the specifics of practice in this field.

6. Using a case study problem, be able to integrate the principles of I/RM into a meaningful assessment of a I/RM problem and its solution (final examination).

While the instructor is rarely at a loss for a topic to discuss, his priority is expressed student interests and needs.**COURSE OUTLINE**

Course topics are covered in **approximately** the order shown (not tied to a specific class meeting):

I. Introduction to I/RM; Course Introduction

Overview/rationale of I/RM

Background/History of I/RM

II. Characteristics of the Field and Its Practitioners

III. Professional Status of Records Management

Professional issues/problems in I/RM

ARMA International--History and Current Status of the

Professional Association

Certification/ICRM

I/RM Staff/Personnel: Levels and Functions

IV. Preliminary Justification of I/RM Programs

Some Psychological Constraints to Controlling Information

Processing

Establishing a I/RM Program

Primary Legislation Related to I/RM

Creating the Legally Sound Program

- V. Records Inventory Process
- VI. Retention and Disposition of Records
- VII. Vital Records Program
- VIII. Standard Filing Systems
- IX. Filing System Maintenance
- X. Facilities/Equipment for Filing
- XI. Electronic Records Basics
- XII. Imaging Systems
- XIII. Imaging: The Systems Design
- XIV. Forms Management
- XV. Mail Management
- XVI. Reprographics Management
- XVII. Records Management Manuals
- XVIII. Records Centers
- XIX. Records Center Management
- XX. Archives Management

A small number of site visits/guest lectures are anticipated; these are important in that they give the student an opportunity to see and better understand specific I/RM attitudes, values, culture, and activities; they also afford some insight into the organizations and personnel that practice I/RM.

NOTE ON CLASS MEETING FORMAT

Except for those classes where there are guests speakers or site visits, readings are typically assigned for an upcoming class meeting. At eight (8) meetings, there are short quizzes which begin the class. Afterward, there is an opportunity to discuss issues raised by the readings, related points, and, from Robek, the assigned *Case Problems* from the ends of the chapters. It is important to understand, therefore, that **the student bears some responsibility for how class time is used.**

COURSE REQUIREMENTS (Readings and I, II [a and b], III, IV, V)

The course text is Mary Robek et al, *Information and Records Management*, 4th ed., (1995) [600 p.]. While there is an increasing variety of I/RM textbooks, this book is still the *de facto* "standard" text and "reference book" in the field and is the only one generally considered appropriate at the graduate level. (It is rumored to be useful in preparing for the examination to become a Certified Records Manager

[CRM].) **Course Requirement III**, below, evaluates--un-apologetically--the student's *close* attention to the required readings in *Robek*.

GRADED ASSIGNMENTS

The following written work is required and will be discussed in greater detail as the course progresses:

I--FORM ANALYSIS AND RE-DESIGN ASSIGNMENT

Printed forms continue to be the chief physical vehicle for the collection and storage of information used in business, industry, and government. Specific forms also tend to be a principal window to given organizational procedures, and their role in the design/re-design of business processes is important. The purpose, then, of this assignment is that of helping the student understand how information processing productivity and flow may be improved or facilitated through optimization of form design.

This is a critical analysis and redesign of the printed form in *Robek*, p. 379. The student produces a two-section ("before-and-after") document:

The first part (**Section I**) presents the original version of the form in question (**Section IA**) and, following it, a *thorough analytical* discussion (**Section IB**) of the current form, listing its inadequacies, problems, shortcomings, and design errors.

The second part (**Section II**) will contain a copy of the student's own graphically *re-designed form* (**Section IIA**) followed with a **full** and clear narrative/textual rationalization of how the student's changes have improved the effectiveness of the form (**Section IIB**) and what principles from *Robek*, Chapter 17, as well as other available resources, come into play.

All readings related to form design should be completed before beginning work on this assignment. Also, note available items on forms management in **Course Bibliography**.

(15% of course grade) DUE: MARCH 28

II--ORAL PRESENTATIONS

While the readings for the course deal with most of the general concepts and practices in I/RM, there is a need to look deeper and more specifically at selected information technologies, services, and other, more issue-driven, concerns to gain a clearer understanding of their implications for the field. Therefore, each student will take **two** of the following topics (one labeled "A" and one labeled "B") and for each develop--and present--an oral report (ca. 15-20 minutes) on each, with any pertinent graphics or handouts, in which he/she deals with those elements of the topic of special interest to the records/information manager.

One report will be done at about midterm; the other toward the end of the term (see **Course Calendar**, below). You are functioning here in an educational role, teaching us the most important things you think we need to know about the topic. Please review the oral report evaluation form, below. It shows the criteria used to evaluate the presentation (The report should not include a general overview of the field of I/RM.)

Sample Topics:

"A" topics are candidates for the first report;

"B" topics are for the second report.

A-1. Legal issues/constraints in use of computer and optical disc data in recordkeeping

A-2. Document control centers (a federal-environment phenomenon)

A-3. The information needs of senior managers/CEO's

A-4. Chief Information Officer(s)

A-5. Chief Knowledge Officer(s)

A-6. Information Resources Management (concepts/applications)

A-7. Information security

A-8. Right to Privacy, federal legislation, and RM

A-9. The Freedom of Information Acts (FOIA) and RM

A-10. Knowledge Management: Principles and Concepts

A-11. Ethics/Professional Responsibility in RM

A-12. Outsourcing of I/RM Services

A-13. The relationship of Archives Management and Records Management

Other topic(s)--as agreed to with instructor

B-1. Criteria for and examples of appropriate applications of optical digital disc technologies

B-2. Electronic mail--the records management issues

B-3. Software applications for automation of records center functions/services

B-4. Computer-assisted Retrieval systems (CAR) [computer database management index and microfilmed source documents]

B-5. Fire protection strategies/technology in the records environment

B-6. Special problems in managing electronic records (deterioration;
retention/disposition scheduling)

B-7. Data mining

B-8. ISO 9000 and I/RM

B-9. Electronic vaulting (i.e. data backup from office/organization of origin to outside computer)

B-10. Information/document destruction: the state of the art

B-11 Knowledge Management software: types and features

B-12 Preservation of digital/electronic media

B-12 Preservation of paper and micrographic media

B-13 Use of intranets for corporate information sharing

B-14 Indexing systems for electronic records

Other topic(s)--as agreed to with instructor

Each student should select topics **as early** in the term as possible, meet briefly with the instructor to discuss approaches to the topic, begin to identify useful material for his/her report, and begin work in earnest well before the date of the presentation.

Please provide instructor (put in his mailbox) a piece of paper or e-mail him with your name, current date, and preferred topic title **as soon in the term as you can**. Discussions with the instructor of topic choices and/or development are certainly always welcome.

There are a variety of bibliographic resources which may be helpful (see **Course Bibliography**, below). If you have any difficulty deciding on a topic or in finding sufficient or appropriate material or people resources to consult, **do not hesitate** to consult the instructor.

A written version of this assignment is not required, BUT at the time each report is presented, the student will provide all those in the class with a one- to two-page **annotated bibliography** of the most useful/valuable sources (e.g., books, journals, WWW sites, interviewees) for possible future use.

Each report will count 10% of the course grade (i.e., 2 reports X 10% = 20% of course grade).

REPORT DATES: March 14 ("A") and April 18 ("B")

See report evaluation form immediately following:

IS 564: CORPORATE INFORMATION SYSTEMS

ORAL REPORT EVALUATION FORM

Student: _____

Topic: _____ Grade: _____

I. Content (degree of meaningful and useful information given in a well organized manner and at an appropriate level for student comprehension): 1 2 3 4

COMMENTS:

II. Organization--evaluates degree to which presentation is effectively organized (e.g., chronologically, developmentally) as to bring coherence to presentation: 1 2 3 4

COMMENTS:

III. Delivery (clarity; speed [i.e., slow enough to follow and take notes]; level of interest achieved by delivery; extent to which report was "given" not read): 1 2 3 4

COMMENTS:

IV. Adequate exposition, definition, clarification of terms or concepts likely to be foreign:

1 2 3 4 NA

COMMENTS:

V. Appropriate use of needed or useful handouts; e. g., references list, transparencies, etc.:

1 2 3 4 NA

COMMENTS:

* * * * *

VI. ADDITIONAL COMMENT(S):

4=Excellent 3=Good 2=Fair 1=Inadequate NA=Not Applicable

III--READING QUIZZES

Students take a series of eight (8) reading quizzes on the content of the principal course text (i.e., *Robek et al*). This quiz sequence is arranged so that after the reading of several chapters in *Robek*, students take a quiz on them at the beginning of the classes shown in the **Course Calendar**, below. Content of the quizzes is quite specific and of the "objective" variety (i.e., true/false, multiple choice) and insures that the student grasps the specifics of background, terminology, practices, functions, techniques, objectives, and technologies of I/RM/MIS.

Each quiz consists of 40 questions (@ 2.5 points) and will take about 20 minutes to complete. *There will be choices*. At the end of the term, an average of the quizzes, each of which has the same weight, will be taken, with the lowest score being automatically dropped. 90-100 = A. A quiz-average curve **may** be applied at term's end. A schedule of quiz dates appears in the **Course Calendar**.

(40% of course grade)--Quiz dates vary--see Course Calendar

IV--RECORDS RETENTION RESEARCH EXERCISE

One of the more professional tasks of records managers is the establishment of records retention schedules for one's organization. This can be a complex task as different organizations in different states may reasonably select different retention periods for the same records series. While we are not in a position to negotiate a "real" retention period with a real organization, we will apply some of the sources/tools provided by the instructor to the records types below.

Each student will select four (4) records types from the list below and hand in a short report giving for each item a retention period based on (a) legal or regulatory source(s).

1. Files associated with the search for and employment of university faculty members
2. Files associated with the shipment of hogs accross state lines
3. Records associated with the development/testing of child restraint seats for cars
4. Records related to Accounts Payble in the State of Tennessee⁽⁴⁾
5. Employee files/personnel folders
6. Bulk shipments of unleaded gasoline
7. Mammograms and related records at clinical facillities offering mammography

8. Transportation of PCB waste
9. Shippments of processed and inspected shrimp
10. Records related to the taking of human blood (phlebotomy), storage, and use.

It will not be possible to create a "final" retention period since the actual length of such schedules will vary from organization to organization based on a variety of criteria. There is, then, no one right answer.

(5% of course grade)--DUE MARCH 8

One source is LEXIS

Also consider <http://www.law.cornell.edu> and

A collection of retention schedules used by some in higher education is at:

<http://www.staff.uiuc.edu/~rcunning/colrec.htm>

V--INFORMATION MANAGEMENT ASSOCIATIONS

Each student is assigned one of the information-management associations listed below and will provide the class a brief report (ca. 5-10 minutes) on the nature/purpose of the

discipline/field/activity that the association represents, whether the association is of the trade or professional type, how many members they have, about how many people are employed in the field, what kinds of professional responsibilities its members have, is a certification program offered, kinds of services the association offers, what it publishes (get and share with the class a copy of its publications catalog and/or standards catalog), a copy of its mission statement (if any), its code of ethics (if any). . . And so forth.

1. Association for Information and Image Management
2. American Health Information Management Association
3. Society of American Archivists
4. Association of Commercial Records Centers, **now** called PRISM (Professional Records and Information Services Management?)
5. National Association for Information Destruction
6. National Association of Government Archivists and Records Administrators
7. Nuclear Information and Records Management Association
8. Business Forms Management Association
9. Xplor

10. Institute of Certified Records Managers

11. International Records Management Trust

In your efforts, you might begin with *The Encyclopedia of Associations*, Ready References shelves, Reference Dept., Hodges Library.

(5% of course grade)--REPORTS ARE ON FEBRUARY 22

VI--FINAL EXAM

While the quizzes encourage attention to details, a *comprehensive integrative final examination* will give the student an opportunity to synthesize and to integrate understanding of I/RM. The exam *will use a case study format* in which the student-as-consultant examines a written account of an organization's records management situation and addresses problems and solutions. The case is really but a structure, or framing device, to articulate the student's grasp of the body of knowledge of I/RM. A copy of a **sample** exam and elements of a model answer are provided as a model (**see end of course handout**).

Suggested preparation for the exam: throughout the term, keep a notebook as you read/study, a notebook in which you keep track of the principal purposes, functions, activities, services, and benefits of I/RM. At the end of the term, knowing that the exam will cover such things, you will then be in a better position to perform effectively on the exam by your review of these notes.

(15% of course grade) EXAM TAKEN: APRIL 25

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RECAP OF ASSIGNMENTS:

I--PRINTED FORM ANALYSIS/RE-DESIGN ASSIGNMENT (10%)--DUE: MARCH 28

II A and II B--ORAL REPORTS (20% [@ 10%]--REPORT DATES = MARCH 14 ("A") AND APRIL 18 ("B")

III--QUIZZES (40%)--Quiz dates vary--See COURSE CALENDAR

IV--RECORD RETENTION RESEARCH EXERCISE (10%)--DUE: MARCH 7

V--INFORMATION MANAGEMENT ASSOCIATIONS (5%)--DUE FEBRUARY 22

VI--FINAL EXAM (15%)--EXAM TAKEN: APRIL 25

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COURSE CALENDAR:

JANUARY 18

Course introduction; syllabus handout/review;

Preliminary introduction of records management in the context of information management;

Brief overview of the records management field; comparison of I/RM to librarianship, archives management; etc.

JANUARY 25NO CLASSPROFESSIONAL TRAVEL

FEBRUARY 1

Review syllabus--Questions?

READ: Luciana Duranti, "The Odyssey of Records Management," Parts I and Part II, *Records Management Quarterly* (hereafter *RMQ*); this work provides a useful sense of the historical development of the "records" field; in this vein, also read Duranti's article titled "Diplomatics." (Both on Reserve, Hodges)

J. Michael Pemberton: "Library and Information Science: The Educational Basis for Records Management," *RMQ*, 15, ii (April 1981):48-53 [suggests parallels between RM and library science];

Perrin Stryker, "Money in the Wastebasket," *Fortune*, February, 1953, p. 144-167. [*An early popular assessment of the objectives of records management*]

Read for today: *Robek*, Chaps. 1--Management of Document Based Systems & Chap. 2--Records Inventory

At this Meeting, Take Reading Quiz #1--over *Robek*, Chaps. 1 & 2 (Note: Chapters 1-2 are **40 p.** in length)

For **Chapter 1**, review and be ready to comment on *Case Problem*, p. 26.

For **Chapter 2**, review and be ready to comment on *Case Problem*, p.41

FEBRUARY 8

Read for today: *Robek*, Chaps. 3--Records Retention Programs and 4--Vital Records Protection and Disaster Recovery Planning

Take Quiz #2 (*Robek*, Chaps. 3-4) (Note: 49 p.)

For **Chapter 3**, review and be ready to comment on *Case Problem*, p. 66-67.

For **Chapter 4**, review and be ready to comment on *Case Problem*, p. 92-93.

Review of ARMA *Job Description Guidelines*.

FEBRUARY 15

Read for today: *Robek*, Chaps. 5--Uniform File Classification Systems, 6--Filing Systems Maintenance, and 7--Facilities and Equipment for Filing

Take Quiz #3 (*Robek*, Chaps. 5-6-7) (**Note: 95 p.**)

For **Chapter 5**, review and be ready to comment on *Case Problem*, p. 130.

For **Chapter 6**, review and be ready to comment on *Case Problem*, p. 160.

For **Chapter 7**, review and be ready to comment on *Case Problem*, p. 195.

FEBRUARY 22

Read for today: *Robek*, Chaps., 8--Electronic Records and 9--Automation of Records Management Systems and Functions

Take Quiz #4 (*Robek*, Chaps. 8-9) (**Note: 52 p.**)

For **Chapter 8**, review and be ready to comment on *Case Problem*, p. 223-224.

For **Chapter 9**, review and be ready to comment on *Case Problem*, p. 250-251.

Reports on information management associations today

FEBRUARY 29

Read for today: *Robek*, Chaps. 10--Microfilm Imaging Systems and Technology, 11--Electronic Imaging Systems, and 12-Imaging Systems Evaluation and Systems Design

Take Quiz 5 (*Robek*, Chaps. 10, 11, 12) (**Note: 76 p.**)

For **Chapter 10**, review and be ready to comment on *Case Problem*, p. 290-291.

For **Chapter 11**, review and be ready to comment on *Case Problem*, p. 312.

For **Chapter 12**, review and be ready to comment on *Case Problem*, p. 333-334

At some point **after** February 29, READ Donald Barber and Mark Langemo, *Filing Dynamics: Developments in Color Coding for Filing Systems* (Emeryville, CA: Marsdale Publishing, 1987) (HF 5741 .B44 1987)

MARCH 7

Read for today: *Robek*, Chaps 13--Forms Management and 14--Mail Management

Take Quiz 6 *Robek*, Chaps. 13 & 14 (**Note: 66 p.**)

For **Chapter 13**, review and be ready to comment on *Case Problem*, p. 379.

For **Chapter 14**, review and be ready to comment on *Case Problem*, p. 405.

Records Retention Exercise Due Today

MARCH 14

Read for today: *Robek*, Chap. 15: Reprographics Management and Control (28 p.) and Chap. 16: Records Management Manuals (24 p.)

Take Quiz 7 (*Robek*, Chaps 15 and 16) **NOTE: 52 p.**

For **Chapter 15**, review and be ready to comment on *Case Problem*, p. 431.

For **Chapter 16**, review and be ready to comment on *Case Problem*, p. 457.

First oral reports ("A") given today

MARCH 21

NO CLASS--SPRING BREAK (March 20-24)

MARCH 28

Professional Issues in Information and Records Management Instructor

Forms Assignment Due Today

APRIL 4

Read for today, *Robek*: Chap. 17: Records Center Planning and Design (28 p.) and

Chapter 18: Records Center Management (20 p.) and Chapter 19: Archives Management (19 p.)

Take Quiz 8 (*Robek*, Chaps. 17, 18, 19) (**Note: 67 p.**)

For **Chapter 17**, review and be ready to comment on *Case Problem*, pp. 489-490.

For **Chapter 18**, review and be ready to comment on *Case Problem*, p. 511.

For **Chapter 19**, review and be ready to comment on *Case Problem*, p. 531.

READ after April 4: Additional readings on archives from:

Maygene F. Daniels and Timothy Walch, eds., *A Modern Archives Reader: Basic Readings on Archival Theory and Practice* (Washington, DC: National Archives and Records Administration, 1984) (CD 972 .M63 1984)--many of the classic articles related to the archives field

1. Ernst Posner, "Some Aspects of Archival Development Since the French Revolution," pp. 3-14.
2. Frank B. Evans, "Archivists and Records Managers: Variations on a Theme," pp. 25-37.
3. Mary Lynn McCree, "Good Sense and Good Judgment: Defining Collections and Collecting," pp. 103-113

4. Theodore R. Shellenberg, "Archival Principles of Arrangement," pp. 149-161.
5. Oliver Wendell Holmes, "Archival Arrangement: Five Different Operations at Five Different Levels," pp. 162-180.
6. F. Gerald Ham, "The Archival Edge," pp. 326-335
7. Maygene F. Daniels, "Introduction to Archival Terminology," 336-342.

Lectures on Professional Issues by Instructor

APRIL 11

Visits to records management and archives facilities in Knoxville area.

APRIL 18

STUDENT REPORTS--SECOND ("B")

APRIL 25

FINAL EXAM (an essay which is case-study analysis--showing the student's ability to identify records management principles and functions and to discuss them in an organizational context guided by a specific situation; exam will be similar to the specimen given out early in the term.)

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INFORMATION RESOURCES FOR STUDENT USE

LIST-SERVS, WWW PAGES

The "mother of websites" for RM and related topics, ⁽⁵⁾ with 3,377 links in 239 categories, is said to be the: "ARMA Rio Grande Chapter Resources Links." Best to link to this from the ARMA International site. The ARMA International home page is:

<http://www.arma.org> [see other links from there]

A site related to records management and certification in information fields is at:

<http://www.staff.uiuc.edu/~rcunning/cert.htm>

=>

The Commission on Preservation and Access:

<http://clir.stanford.edu/cpa.html>

The AIIM home page is:

<http://www.aiim.org>

A site related to ethics in the information fields is:

<http://www.public.usit.net/willing/ethics/EthicsBibOrg.htm>

Principal List-servs are:

ARCHIVES@MIAMI.ACS.MUOHIO.EDU

RECMGMT@LISTSERV.SYR.EDU

ERECS-L@CNSIBM.ALBANY.EDU

Subscribe to these lists during the term to get a sense on what is on these folks' minds.

Also review the news stories about records, files, information, archives, etc. posted on the RECMGMT list during each weekend. Bring an item of interest to class on Tuesdays.

SELECTIVE RECORDS MANAGEMENT BIBLIOGRAPHY

Indexes and Abstracts:

ABI INFORM [an online database of citations to and abstracts of items in business/management sources--the *best overall indexing source for I/RM topics and articles*]--also on CD-ROM, Hodges Library--Reference Dept.

"Cumulative Index to the *Records Management Quarterly* for January 1976-1987" in *Records Management Quarterly*, 22, i (January 1988) [HF 5736 .R3632 in Hodges Stacks]; for updating after the coverage after 1987, there is an index for each volume year of this journal.

Business Periodicals Index (Z 7164 .C8B8)

INFOTRACa CD-ROM periodical database, Hodges Reference; some few general-interest pieces on records/files accessible here--but only if they are newsworthy

Library Literature (Z 666 .C211) probably least useful source for records management per se but very useful for topics like archives, preservation, and related topics

MARCHIVE--A CD-ROM product which indexes the *Monthly Catalog*, bibliographic output (1976-) of the world's largest publisher: the U.S. government; MARCHIVE provides citations to information of many types on the activities in areas of archives and records management of the U.S. government (mounted on CD-ROM drives Hodges).

Management Abstracts (HD 28 .M34)

P. A. I. S. Bulletin (Z 7163 .P9)

Work Related Abstracts (HD 6961 .E57)

Bibliographies (all are "old," unfortunately)

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Management. (RA 976 .T66)

SELECTED VIDEO ITEMS IN (HODGES) AUDIOVISUAL DEPT. OF POSSIBLE INTEREST TO SIS STUDENTS IN LIS 564

BEFORE THE ALPHABET. 1 VHS cassette. 30 min. 1989.

P211. B44

Traces the development of writing from Sumer and

Egypt through the development of a workable alphabet.

BEYOND THE WALLS: THE WORLD OF NETWORKED INFORMATION. 1 VHS cassette. no time given. 1991

TK5105.5 .B496

Part of an instructional workshop package.

CARING FOR YOUR MICROFORM COLLECTION. 1 VHS cassette 13 mins.

Z692 .M5C39

A University Microfilms International documentary on

microform preservation.

OPTICAL DISK TECHNOLOGY AT OCLC. 1 VHS cassette. 23 mins.

TK7895 .M4O65

Optical storage devices in library application. 1986

PROVIDING A FUTURE FOR THE PAST. 1 VHS cassette. 13 mins.

Z701.P86

A University Microfilms International documentary on library materials conservation and preservation.

THE ROYAL ARCHIVES OF EBLA. 1 cassette. 59 min.

DS99 .E25R6

The cuneiform tablets from Tell Mardikh-Ebla in Syria, which open a new window on the Semite past.

SLOW FIRES: ON THE PRESERVATION OF THE HUMAN RECORD. 1 VHS cassette. 33 min.

Z701 .S57

Addresses the problems of acidic paper in print media, as well as the need to preserve film, tape, and other information storage formats.

USE OR ABUSE: THE ROLE OF STAFF AND PATRONS IN MAINTAINING GENERAL LIBRARY COLLECTIONS. 1 VHS cassette

Z701 .U835

Illustrates techniques for proper use and care of library print materials.

THE WHITE HOUSE CONFERENCE ON LIBRARY AND INFORMATION SERVICE. 2 VHS cassettes. 159 min.

Z731 .W69 1991

Highlights of the conference and a teleconference on priorities, goals, and actions.

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NOTE ON "INCOMPLETES"

Based on adopted University of Tennessee, Knoxville, and SIS policy, an "Incomplete" is granted only under "the most unusual of circumstances." Power to grant an "Incomplete" resides wholly in the instructor and is not a student right. In the event that an "Incomplete" is even to be **considered**, the student will be required to petition for an "Incomplete" by filling out a SIS approved form used for that purpose (contact instructor), and the student will agree to the conditions and date set by the instructor for the removal of the "I" ("Incomplete"). In any event, an "I" not removed within one semester automatically becomes an "F." For students who simply "disappear" without contacting the instructor and without completing the required form, an "F" is submitted.

NOTE ON ACADEMIC HONESTY

Plagiarism in any of its several forms is intolerable, and attention to matters of documentation in all written work is expected and required. Inadvertence (i.e., "carelessness"), alleged lack of understanding, or avowed ignorance of the various types of plagiarism (including lack of proper attribution of sources and use of quoted material and mechanics for same) are not acceptable excuses. Students who may be unsure of the nature of plagiarism should consult a source on writing research reports, such as "Section 34," *Harbrace College Handbook* (Hodges Library, Reference: PE 1112 .H6 [latest edition]). Infractions of academic integrity are penalized according to the severity of the infraction but **may include a course grade of "F" and the instructor's recommendation to the UTK Dean for Graduate Studies that the student be dismissed from the University.**

Each student's work is to be the product of his/her own study and/or research, not a joint effort of any sort unless previously approved (e.g, ASSIGNMENT B). The UTK Honor Statement, adopted in 1987, and subscribed to, *de facto* by all entering students reads in part: "As a student of the University, I pledge that I will neither knowingly give nor receive any inappropriate assistance in academic work, thus affirming my own personal commitment to honor and integrity." (See also *Hilltopics*.)

METHODS OF DOCUMENTATION

The standard SIS resource for matters of documentation is Kate L. Turabian, *A Manual for Writers of Term Papers, Theses, and Dissertations*. 5th edition [or later] (Chicago: University of Chicago Press, 1987) REFERENCE LB 2369 .Y8 1982. (Paperbound copies abound in local bookstores.) Turabian is derived from the *Chicago Manual of Style*, 13th ed. For matters not covered in Turabian or where there is ambiguity, the latest edition of the *Chicago Manual of Style* is ultimately authoritative. Additional sources at Reference, Hodges, and listed on their web site may be used for references to internet sources, etc.

Use of footnotes at the bottom of pages is unnecessary. One may use superscript note numbers--in text--linked to endnotes, or "references," a collection of notes with corresponding superscript numbers collected on separate pages at the paper's end. Easier still--and perfectly valid as well--is the use of internal, parenthetical documentation, such as ". . ." (Jones, p. 98) or . . . [one's paraphrase of Jones' text] (Jones, p. 98). The reader then refers to the alphabetized "Bibliography" at the end of the paper for the first and only (necessary) **full** reference to "Jones." Papers containing references to more than one work by "Jones" simply use an abbreviated short title and the name parenthetically; e.g., ". . ." (Jones, "If Today," p. 98) or author's name and date of the cited work; e.g., ". . ." (Jones, 1990, p. 45).

FORMAT OF PAPERS/EXAMS

Unless otherwise indicated--or negotiated under special circumstances--all required papers (not reading log) will be typed, or printed out, on 8 ½" X 11" paper, with 1.5" left margin and 1.0" for all others. Paper through which the text of the next page can be easily read is inadequate as is "erasable" paper which smears or bleeds when written on in ink. If word processed, do NOT right justify as this causes eyeball stretching internal spacing. Pages will be numbered. Do not use clasps, binders or folders; simply **staple** paper in upper left corner. If necessary, papers are acceptable on 3.5" disc in ASCII or WordPerfect 5.1/6.1 formats.

For *examinations*, please bring two (2) fresh "blue books" and write in black or blue/black ink, not pencil; use "white out" for erasure or use pen with erasable ink.

On all papers, exams or quizzes, please note assigned mailbox number.

LANGUAGE OF INSTRUCTION

The language of instruction, written work, and examination(s) for this course is Standard English.

STUDENTS WITH SPECIAL NEEDS

The University of Tennessee intends to comply with requirements of Section 504 of the Rehabilitation Act of 1973 and those of the Americans with Disabilities Act (ADA) of 1990. Students with special needs should talk with the instructor as early as possible in the term about possible accommodations under these regulations.

GENDER NEUTRAL LANGUAGE

UTK and class policy is that instructor and students should strive for gender neutral, or gender inclusive, language where possible in written and oral speech. That is, "humanity" is preferred over "mankind," "men/women" vs "men/girls," etc. While working to amend his early training, the instructor apologizes

in advance for any gaffes of his own in this area.

STUDENT EVALUATION

Work in the course assumes post-baccalaureate analytical, thinking and writing skills. Work is be evaluated **at a graduate level** on appropriateness of content and strength and creativity of response; ability to follow directions and adhere to assignment specifications; accuracy; clarity; organization; consistent use of Standard (i.e., correct) English in areas of grammar, style, mechanics, use of sources, etc. Additional criteria are noted in the "Grading Scale," below.

Grading is on the following scale

A= 95-100--indicates *superior* competencies, exceeds expectations for adequate work; simply meeting minimal expectations of assignment specifications is not "A" work. "A" work contains additional critical, analytical, or creative insight.

B+= 90-94--indicates that all basic competencies have been met and surpassed.

B= 85-89--indicates that all basic expectations have been met.

C+= 80-84--indicates that some expectations have been met.

C= 75-79--indicates that an adequate number of expectations have been met.

D= 65-75--indicates that work is unsatisfactory but has met some expectations.

F= 0-64--indicates that work has not met any expectations of the assignment.

PENALTY FOR LATE WORK

Except by **prior agreement**, ½ letter grade per working day may be deducted for written work not submitted by 5:00 p.m. the day due or 6:30 p.m. if a night class. For example, a paper which would normally receive the letter grade of "B" may receive a "C" if two working days late--and so forth. The same type of penalty may apply to scheduled oral reports except that they are assessed an automatic penalty of two letter grades' reduction for each class period for which they are scheduled and are not delivered--except by **prior arrangement**, which must be arrived at least 24 hours prior to the original time scheduled for the presentation.

CLASS ATTENDANCE POLICY

Clearly, class attendance is recommended, but attendance per se does not directly effect a student's grade--positively or negatively.

CLASS CANCELLATIONS

Should it be necessary to cancel a class meeting, every effort will be taken to do so in advance.

COURSE AND INSTRUCTOR EVALUATION

The instructor considers course/instructor evaluation a student right and, perhaps, even a responsibility.

Toward the end of the term, students are given an--optional--opportunity to evaluate course and instructor using a combination of university mandated and SIS-specific questions. Evaluations are turned in, by a student and in a sealed envelope, to the SIS main office, where they are tabulated, comments extracted and typed, and all the information is reviewed by the Director. Later--at a point normally three weeks into the next semester--the results are given the instructor. The instructor appreciates students' time taken to do the evaluation and does review and consider them for course and instructional improvement.

School of Information Sciences IS 564

University of Tennessee/Knoxville Pemberton

Corporate Information Systems

Final Examination

SAMPLE EXAM WITH IDEAL RESPONSE

This exam's intent is to have you integrate and coordinate what you know about the various functional elements, purposes, processes, and practices of records management and to put them into the contextual whole of a case.

The Problem

The XYZ Company (use "XYZ" without quotations marks) has been in business since 1975--operating with virtually no records management program. Each of the ten departments at XYZ is responsible for its own area's records. Each makes its own decision on types of equipment used to house records, the filing system they're maintained with, how long records are to be kept, as well as how and where they are stored.

A storage room with 8,000 square feet is used to house inactive records. In this room records are stored in 50 vertical file cabinets and hundreds of transfer cases. Also, on approximately 75 wooden pallets can be found various types and sizes of boxes full of records and computer printouts. There is no room to stack another box. One staff member's estimate suggests that there are some 10,000 cubic feet of records in a room with a ceiling height of 15 feet. Each department has an assigned area, or cubbyhole, in this room to pile their boxed records; all departments share the vertical file cabinets. Any individual in the company is allowed access to the room to remove records--if they are fortunate enough to be able to find them.

Each department is responsible for designing, printing and distributing forms used within their respective areas or by their customers, who must supply information to the department. Usually, the secretary for each department manager takes on this task of designing and duplicating forms. Most forms are prepared on a typewriter computer and duplicated at the nearest copy machine. Some forms requiring carbon, or NCR, copies are printed at a print shop one block from XYZ. The only identification on the forms is the company logo in the upper right-hand corners.

Micrographics is virtually non-existent in this organization. A few years ago, the Accounting Dept. sent 30 boxes of canceled checks and invoices to a local microfilm service bureau to be filmed on roll microfilm. This practice has continued. However, the volume is so large that retrieval on the microfilm has become a problem. Clerks spend hours scanning rolls of film searching for one image. Because the

company is running out of space in both active and inactive storage areas, other department managers are exploring the possibility of microfilming the following: 8,000 blueprints, 20,000 sales reports (computer printouts distributed to 200 locations), 50,000 Accounts Receivable statements and 3,000 volumes of research documentation. One manager feels that **all** correspondence and reports should be put on microfilm.

The Personnel Dept. manager recently visited an information management trade show and was very much impressed with optical digital disk technology. He is currently preparing to purchase a system to eliminate the paper storage of all employee personnel files. These files currently occupy 10 five-drawer lateral file cabinets; there is no room to add another piece to filing equipment.

The company has a mainframe computer which maintains and processes information for the Accounting, Personnel/Payroll, Sales, and Manufacturing departments. However, no records automation exists in any of the other units. Some managers (individually) are currently looking into purchasing microcomputers to add other functions to word processing capabilities. As of this date, no purchases have been made in this area because the managers know little about the technology and are apprehensive about automating their many repetitive tasks.

The company's few archival records can be found here and there. The President has some stored in a safe in his office. The Vice President for Operations has recognized the value of certain documents, but he feels the only safe place to keep them is in his home. But he is not entirely sure which records are archival. No one has really appraised the value of any records; therefore, many records with possible historical or research value are being destroyed.

The company's vital records are in danger. The only records that are protected are most of the company's contracts. A duplicate of the master set of contracts is being held in a branch office in another state. Also, the data processing manager has made a duplicate set of all master magnetic tapes and stores them on racks in a locked room at the opposite end of the building. For backup purposes, these tapes are rotated with current ones on a weekly basis.

Action Required

Robert Boulanger (hereafter use: "Mr. B" without quotation marks), the President at XYZ, has hired you as an outside records management consultant to assist XYZ. You are to do a thorough study of the organization's recordkeeping practices and problems and to suggest how they might be improved. You must prepare a needs assessment and action plan for Mr. B.'s review. In it you will list and discuss:

1. A *statement of the main problem* (one or two sentences--ca. 25 words)
- 2.0 The *findings* (your identification/enunciation of the various problems) based on the background information given above;
- 3.0 The *methods* (e.g., processes, procedures, activities) you would use in doing the study and *what* (e.g., departments, areas, processes, procedures) you will examine;
- 4.0 The probable *recommendations* you would make and the rationales behind those recommendations; and
- 5.0 The anticipated *benefits* or *results* for the company of taking the actions you recommend.

c. No retention schedules have been established with results in:

1. Records maintained too long; records being destroyed prematurely

2. Space, equipment, and supplies are not used efficiently; and

3. Inadequate support for litigation purposes; legal requirements may

not be defined

d. The company has no records center operations and has exhausted their space for storage of inactive records

e. Unlimited access results in poor security

f. Poor inactive storage creates lost records and inefficient retrievals

g. Inconsistent forms practices result in excessive printing costs, duplications, and

unnecessary burden on those who supply information

h. Forms prepared on a typewriter result in inefficient use of space and are of

poor quality

i. The company lacks effective purchasing procedures for outside printing of

forms

j. No form numbers, revision dates, or form titles exist.

k. An insufficient index exists for the many rolls of microfilm containing invoices

and checks; this results in inefficient retrieval practices

l. No study has been conducted to determine the feasibility of numerous

micrographic applications.

m. No centralized study has been undertaken to determine the feasibility of

office automation, including word processing

n. Due to the lack of retention policies, the archival value of the company's

records have not been determined.

o. Possible archival records are not maintained in proper areas with

environmental controls using preservation techniques

p. Vital records are endangered.

II. *Methodology*

a. Conduct a physical inventory of active and inactive storage areas.

b. Interview record keeping personnel and managers.

c. Conduct feasibility studies for equipment, micrographics applications and automation

d. Review all existing procedures.

e. Analyze findings and develop alternate actions, systems, and procedures

III. *Probable Recommendations/Rationale*

Develop a company-wide records management program encompassing the following activities:

a. Provide for a records manager positions, staff, and operating budget

b. Prepare records retention schedules. (The creation of retention schedules will eliminate the expensive storage of records that have no further value, provide the necessary documentation for litigation support, determine at which the records become inactive and define archival and vital records for the protection and preservation purposes.

c. Develop a records center operation in the existing inactive storage area (8,000 sq. ft.)

1. Reduce the total volume of records held in office and storage areas,

2. Establish controls to ensure a continuous flow of records from offices to low-cost storage

3. Free floor space and reduce the need for storage equipment purchases

4. Establish an efficient retrieval system, and
5. Maintain total security over company records
- d. Develop a forms management program

The objectives of a forms management program are:

1. Ascertain that each form fulfills a basic requirement of an approved operating procedure
2. Design each form so that it will perform its purpose efficiently and effectively
3. Specify the most economical method of manufacture
4. Establish a system of stock control and replenishment that will make forms available, when needed, in economical quantities
- e. Implement conversions to several micrographics applications

Conversion to micrographics applications will provide the following benefits:

1. As much as 98% reduction in storage costs
2. Savings in distribution costs
3. More efficient retrieval
4. Maintain file integrity, which includes elimination of misfiles, and
5. Ease of maintenance and duplication of backup
- f. Interface work processing applications with existing data processing systems and procedures
1. Eliminate retyping of documents,
2. Provide ease of revising and manipulating of documents
3. Allow clerical staff time for performance of other job requirements, and
4. Allow for temporary storage of documents for further revision/updates

g. Establishing an archives management program will:

1. Ensure records with enduring value are properly preserved for permanent retention,
2. Preserve corporate memory,
3. Provide product information
4. Provide policy direction
5. Provide evidence of company activities and consequences of that activity, and
6. Document public relations activities.

h. Develop a vital records program. (Vital records protection programs will identify those records which are essential for the continued survival of an organization in the event of disaster.)

NOTE: Further recommendations may include: development of a reports, correspondence, directives, control program. Establish a manual that defines policies, procedures and responsibilities of the newly established records management program. Develop a training program to educate company personnel. Improved active records areas by possibly installing high-density storage equipment, color-coded systems, and uniform filing systems on a company-wide basis.

IV. *Benefits*

The establishment of a company-wide records management program ensures the control over an organization's most valuable asset--its information. It not only monitors the company's record-keeping systems, but it also provides services in selecting the most effective and efficient manner to maintain information. The program assures that accurate and complete information is furnished when it is required to operate the organization efficiently. The organization will also benefit by:

- a. The removal of inactive records from prime floor space for more efficient use of the area,
- b. The destruction of obsolete records,
- c. The return of salvaged filing equipment,
- d. The storage of information in an orderly and easily retrieval manner resulting in a labor savings,

e. Reducing legal exposure by maintaining records in compliance with federal, state, and local government requirements,

f. Assuring its continuity in the even of a disaster by protecting information that is vital to its survival,

g. Promoting faster access, reduction in misfiling, and centralization, of information through use of automation and integrated information systems, and

h. Providing a company memory for future decision-making and research.

1. Library/information services, focusing on information resources created **outside** the organization is the focus of IS 553: Corporate Information Services.

2. John Feather and Paul Sturges, eds., *International Encyclopedia of Information and Library Science* (London: Routledge, 1997), p. 187

3. This finding was presented to the Association for Information and Image Management (AIIM) by accounting firms they employed (1987 & 1991) to study, among other things, the penetration into the information processing market of microfilming and optical disc imaging--both known collectively as "imaging."

4. Amounts owed on open account for goods or services.

5. This site is maintained by Alan S. Zaben; he can be contacted at: survivoraz@earthlink.net