DOMINICAN UNIVERSITY
School of Information Studies

RECORDS & INFORMATION MANAGEMENT – LIS 886

RIM Program Plan
100 Points
Submit via Canvas by 11:59PM CST on June 27, 2021.

INTRODUCTION

As the capstone assignment for this course, you will prepare a comprehensive program plan outlining the short- and long-term goals for a newly approved RM/IG program. This assignment will fuse all course theories and topics into a unified program plan, displaying competency in establishing and maintaining an effective RM/IG program. As with all professional RM/IG program plans, you must consider and effectively communicate to audiences concerned with balancing technology, fiscal, training, legal and compliance needs (to name just a few).

CASE STUDY

You have been appointed the Director of Records and Information Management for River Park University (RPU), a private institution of higher education, located just outside the Chicago city limits in River Park, Illinois. RPU was founded in 1905 and is affiliated with the Catholic Church. RPU has 8,000 students and 1,000 employees, in two locations: River Park and the Chicago loop. River Park is the flagship campus, with approximately 1,000,000 square feet of campus space including academic and residential buildings. The Chicago loop campus occupies the 18th through 21st floors of the Blue Cross/Blue Shield building on Randolph Street.

Until you were hired in 2021, no formal RM/IG program existed at RPU. In fact, recent data breaches at peer institutions caught the attention of the RPU Board of Trustees, prompting them to mandate an outside consultant's opinion on RPU's institutional data and record safety/integrity needs. From the consultant's report, the board recommended the creation of a RM/IG department, reporting to

the university president. The newly created RM/IG department is to work collaboratively with the Information Technology (IT) department and the University Archives and Special Collections, while also serving as the primary compliance agent for any newly created RM/IG policies or procedures. Currently, the only policy governing university documents or files is the email deletion policy. This policy, sponsored by the IT department, states all email will be deleted after 90 days, regardless of content or owner. This policy is controversial at the university, as while it ultimately saves the IT budget with regards to storage costs, it forces many mailbox owners to print out and file or download and store email threads.

During your first day on campus, the university president, Dr. Karen Turner, detailed several areas of concern noted by the consultant during the site visit. For starters, each of the ten buildings on campus has a basement where boxes full of old records are stored. These boxes of the "banker" type are stored on the basement floor and are only labeled with the name of the "owner" department (and some are not labeled at all). RPU sits on a flood plain and, as a result, the university's insurance company recently required an upgraded policy for flood coverage due to risk. The Director of Facilities Operations for RPU told the outside consultant the basements are used for storage because no free space is available on campus for the boxes.

Dr. Turner also explained the consultant found numerous copies of official records in offices all over campus. For example, the Financial Aid department keeps a large, paper file with all pertinent student documents in their office (some documents containing personally identifiable information such as social security numbers). Additionally, Financial Aid keeps paper copies of applications and transcripts submitted to the admission office for reference. When questioned by the consultants, the Director of Financial Aid stated if a copy of the admission application was not provided to their office, staff members would have no access to the documents (which is needed for Financial Aid processing). The Accounts Payable office also complained to the consultant about the overwhelming amount of paper in their office.

The Accounts Payable office receives, on average, 100 check requests a week from other areas on campus. Each check request entails a triplicate paper form, original receipts and other supporting documentation.

Upon further discussion with the Dr. Turner, she notifies you of several "growing concerns" shared by her cabinet during a recent meeting. The Loop Campus of RPU recently had a situation where the hiring paperwork of a faculty member (Form I-9, copies of identification, payroll authorization form, etc.) was lost during the transport of an inter-office envelope by a student worker to the main campus in River Park. Apparently, the student worker put the envelope in his backpack and forgot to drop the paperwork off at Human Resources before going to class on the main campus. While the paperwork was recovered the next day, the Director of Human Resources is terrified this could happen again and has halted the processing of employee paperwork away from the main campus. Since a vast majority of RPU's adjunct faculty teach at the Loop Campus, this practice is very troublesome from a public relations perspective.

Additionally, the Director of Risk Management expressed concern about the how the university would respond in the event of a tornado after attending a conference on disaster recovery. Currently, the university has no formal plan in place to safeguard records in the event of a disaster. Finally, the Chief Information Officer complained the network shared drive space file volume for five departments is well beyond the typically allotted maximum amount of storage space. The CIO refuses to purchase any additional storage for the departments, which has caused friction between the five department heads and his office. The CIO gave the departments an ultimatum during the last President's Cabinet meeting: they have sixty days to get rid of 30 GB of file storage each or he would direct IT employees to arbitrarily delete items.

Finally, the Director of University Archives and Special Collections sheepishly reported to Dr. Turner that massive "holes" exist in the archival history of the university. In fact, the University Archives & Special Collections rarely receives records and would like to see an influx to document the history of

the institution. In a recent university celebration, the University Archives & Special Collections area was publically embarrassed by the Board of Trustees for having few historical artifacts for the last twenty years. To top it all off, Dr. Turner is convinced departments are not getting rid of old records because a records retention schedule does not exist at RPU. She's had talks with the internal Office of General Counsel regarding establishing a Records Retention Schedule, but RPU's in-house lawyers were busy with other pressing matters.

During the onboarding discussion with Dr. Turner, you were promised $1 million dollars for the next fiscal year of RM/IG activities. Within reason, you have been promised the full extent of university resources for RM/IG related projects and activities. Since the mandate for this department is coming from the Board of Trustees, employees will be aware of the department's importance. However, Dr. Turner was very frank stating she had little knowledge of the RM/IG field and is relying on you to "guide the ship" for the university. This confidence in you was so bluntly stated that Dr. Turner more or less promised a promotion to Assistant Vice President in the next year if major successes could be delivered at the Board of Trustees meeting in July 2021. Remember, within in reason (e.g. you cannot/shouldn't ask to hire ten additional staff members), you can use any resources available to you for this RM/IG program plan.

THE ASSIGNMENT

For this assignment, you have multiple options in how to approach communicating the program plan. Regardless of your approach, you must address the needs/deliverables of the RM/IG program at three different periods of time: 60 days, 120 days and one year. In other words, you are providing Dr. Turner with a plan for how to bring RPU in alignment with best practices related to RM/IG. Regarding format, you may do any of the following:

1. Compose a written, narrative document. Your paper, a minimum of seven but maximum of ten pages (exclusive of cover page and bibliography), must be written in Times New Roman font, 12 point. The paper margins should be one inch on all sides, double-spaced, your name and page number in the right-header and must be properly cited in a style of your choice. In the document, you may include diagrams, flow charts, graphics, organizational charts, and other appropriate mediums to support arguments. Your document must be submitted as a Microsoft Word file (.docx).

2. Create a YouTube™ video presentation. Your video, a minimum 10 minutes but maximum of 20 minutes, must creatively present the program plan. The video link must be publicly available during the grading period and the content/format of the video must be appropriate for graduate level studies. You may use PowerPoint™ and narrate the presentation (preferred) or simply present the materials in a format that works for you.
3. Present to Todd. You may schedule a time in-person or over Zoom™ to present your findings in a synchronous format. Your presentation must be a minimum of 10 but maximum of 20 minutes. If you are interested in pursuing this option, you must confirm a time with Todd by no later than June 6, 2021 at 11:59PM CST.

4. Propose a method not listed here. If you are interested in pursuing this option, you must receive approval from Todd by no later than June 6, 2021 at 11:59PM CST.

HELPFUL HINTS

Within the case study, you will find a myriad of issues relating to River Park University. For reference, there are **at least 15 records management related issues** within the case study. To get full credit, you must not ignore any of the issues. After seven weeks of study, it is your job to sift through the rubble and triage the issues into the appropriate time-based "buckets". Here are some of my suggestions as you start to go through the case study:

- Read the case at least three times. Each time you read the study, identify the issues related to RM/IG. Then, attempt to put them into buckets corresponding to the date ranges required by the directions. There are items in the study that must logically be addressed first. For example, you can't destroy a bunch of records without a policy and retention schedule. As you know, there is one "must-have" at the start of every RM/IG program and it must be addressed before you do anything else.
- Get to the point – your recommendations are going to the President. Dr. Turner knows her institution very well, so there's no need to spend time explaining the history and setup of the college. Acknowledge there are problems and then succinctly write up your recommendations. Spend your time talking about solutions!
- Think "what's going to blow up first?" In other words, what issues are so large and/or politically important to address that you need to do them first? Then, consider issues that are still important but could wait a few months. There are always trade-offs when starting an RM/IG program.

- If you write a paper, use bullets sparingly – try to blend together your narrative with action items. If you feel bullets are appropriate for your description, feel free to use them. However, your paper is a narrative, not an outline.
- If you give a presentation, remember the 7x7 rule: no more than seven bullets on a slide, no more than seven words in a bullet. Blocks of texts/reading off slides is bad – if you need assistance in putting together an effective presentation, let me know.
- If you use theory, describe it quickly and move on. Don't waste a page of your narrative or three minutes of your video talking about theory. What you don't want to do is take up a bulk of your explanation with theory and leave out how you're going to address the multitude of issues in this case study. Do your best to blend the elements.
- Be specific about issues in particular departments. As a hint, there are at least two glaring department issues in this case study – one in Human Resources and one in Finance. There are more, but that should get you started.

Above all, be sure that you're addressing each of the issues found in the case study. As always, I'm happy to review drafts, brainstorm ideas and give you guidance along the way.