We acknowledge that we are on the traditional, ancestral and unceded territory of the handaminam speaking Musqueam people.

iSchool Mission: Through innovative research, education and design, our mission is to enhance humanity's capacity to engage information in effective, creative and diverse ways.

ARST 516 Management of Current Records – Course Syllabus (3)

Program: MAS/MASLIS

Year: 2022

Course Schedule: Tuesdays, 6:00-8:50PM

Location: IKBLC 185 Irving K Barber Learning Centre (IBLC) - 185 | Learning Spaces

Instructor: Jessica Tung

Office location: iSchool Adjunct Office

Office phone: N/A

Office hours: As needed, please schedule with instructor.

E-mail address: jhtung@mail.ubc.ca

Learning Management Site: http://lthub.ubc.ca/guides/canvas/

Course Goal: Through this course, students will obtain a solid grounding in the fundamental concepts, principles, and methods of managing current records. Students will learn the theory, methods, and practices of records management as they apply to creating and maintaining records generated by contemporary organizations. Students will learn how to undertake organizational systems and functional analysis, develop records classification systems and retention schedules, write records and information management policies, and evaluate record-keeping practices in contemporary organizations – all critical skills in managing current records. The course will also introduce students to more advanced topics in records management in preparation for further studies or future work in the field.

FNCC specialization: The assignments in this course can serve the requirements of the First Nations Curriculum Concentration (FNCC). If students would like to take this course for FNCC credit, they are invited to contact me to discuss this option. There are many topics that can be explored in this context, for example management of First Nations records and the role of records in Truth and Reconciliation. If you are interested in this topic for any of the assignments for this class, I can guide you in defining an approach or connect you with members of the profession whom I know work within a First Nations community context.

Learning Outcomes:

Upon completion of this course students will be able to:

- 1. Demonstrate an understanding of key records management frameworks, standards and principles in order be able to apply them to the management of current records. [1.1, 1.3, 1.4]
- 2. Analyze an organizational system using Organizational Systems Analysis well enough to explain the context and processes of records creation, management, storage and use in a specific recordkeeping context. [1.1, 1.2, 1.3, 1.4]

- 3. Apply Organizational Systems Analysis in the development of a records classification system and a records retention schedule to appropriately manage current records. [1.1, 1.2, 1.3, 1.4]
- 4. Critically reflect upon and communicate the implications of the context and processes of records creation, management, storage and use in relation to the formation of archives. [1.2, 1.3, 1.4, 4.1]
- 5. Articulate the importance of records management and challenges of current recordkeeping technologies and present them thoughtfully to an audience. [1.4, 2.1, 2.2]
- 6. Connect current societal information issues with records creation, management, storage and use contexts and processes. [1.4, 4.1]

Course Topics:

- History and development of records management
- What is records management? What is a record?
- Records management standards and frameworks
- Records management programs strategies, design, and implementation
- Records systems, including electronic records management systems
- Organization systems analysis and contextual analysis
- Functional records classification
- · Records series, retention schedules, and records disposition authorities
- Managing records creation and capture: common workplace technologies & collaboration tools
- Legal and regulatory issues
- Compliance, monitoring and auditing of records programs
- Risk management: business continuity planning and vital records programs
- Writing RM Policies, procedures, standards, and guidelines
- Careers in records and information management

Prerequisites:

MAS and Dual students take this as part of the MAS core. Core courses in the MAS program can only be taken by students registered in the MAS program.

Format of the course: One in-person meeting per week, which will combine instructor-led lectures, guest speakers, student presentations, in-class discussion and exercises. It is expected that students attend <u>all</u> weekly classes. Should a student become ill or is unable to attend for any reason, they should notify the instructor immediately and arrangements will be made to make available course lecture materials. If the instructor must cancel class, arrangements will be made to record the lecture and details on all changes will be posted on Canvas as soon as possible.

Estimated number of weekly hours students should dedicate to this class (preparation activities + class activities): 6 hours (excluding time to work on assignments)

Required and Recommended Reading: The required readings are listed with the weekly course schedule. All required readings are available online either through UBC Library or are uploaded to Canvas. A recommended reading list and other resources for students will be distributed on the first day of classes.

Course Assignments: Assignment specifics and resources will be distributed to students on the first day of classes.

Assignment Name	Due Date	Weight	Graduate Competencies
Presentation to class on a topical RM issue (Group assignment - groups randomly assigned on Week 2)	Oct. 25 & Nov. 1	30%	1.1, 1.3, 1.4 2.1, 2.2, 3.1, 4.1, 5.1
Short answers to questions related to weekly course topics (10 questions in Canvas, due before the following class)	Weekly	30%	1.1, 1.2, 1.3, 1.4, 2.1
Recorded presentation or training video (Individual assignment, 5-minute recording)	Nov. 29 & Dec. 6	30%	1.1, 1.2, 1.3 1.4, 2.1, 2.2 4.1, 5.1, 5.2
Participation in class discussions, and in classmates' presentations throughout the term	Throughout	10%	1.4, 2.1, 3.1

Course Schedule [week-by-week]:

Topic	Date
UBC ORIENTATION DAY - NO CLASS	No class – Sept. 6
Required readings for first class are listed for Sept 13.	
 Introduction to instructor and overview of assignments What is records management? History and development of records management 	Week 1 – Sept. 13
Discussion question #1 in Canvas (due before start of next class, Sept. 20)	
Required readings:	
Duranti, Luciana. 1989. "The Odyssey of Records Managers Part I: From the Dawn of Civilization to the Fall of the Roman Empire." ARMA Records Management Quarterly 23 (3): 3-11. Available online through UBC Library.	
Duranti, Luciana. 1989. "The Odyssey of Records Managers: Part II: From the Middle Ages to Modern Times." ARMA Records Management Quarterly 23 (4): 3-11. Available online through UBC Library.	
Hurley, C. 2004. What, If Anything, is Records Management? RMAA Conference, Canberra. Available online through UBC Library.	
Buckley, K. (2008). "The truth is in the red files": An overview of archives in popular culture. Archivaria, 66, 95-123. Available online through UBC Library.	
 What is a record? Why records management? The records lifecycle and the records continuum Groups for presentation and dates circulated 	Week 2 – Sept. 20
Discussion question #2 in Canvas.	



Required readings:

Shepherd, E. and Yeo, G. 2003. "Chapter 1: Understanding Records Management." In Managing Records: A Handbook of Principles and Practice (pp. 1-29). London, UK: Facet. Available online through UBC Library.

Finnell, Joshua. 2011. "Records management theory's dilemma: what is a record?" Library Philosophy and Practice 1. Available online at http://digitalcommons.unl.edu/cgi/viewcontent.cgi?article=1598&context=libphilprac

Lemieux, V. (2001). Let the ghosts speak: An empirical exploration of the "nature" of the record. Archivaria, 51, 81-111. Available on Canvas.

Dingwall, G. (2010). Life Cycle and Continuum: A View of Recordkeeping Models from the Postwar Era. In T. Eastwood & H. MacNeil (Eds.), Currents in Archival Thinking, 2nd ed (pp. 139–161). Santa Barbara, CA: Libraries Unlimited. Available on Canvas.

- Records management standards and frameworks
- Records management programs strategies, design, and implementation
- Records systems

Discussion guestion #3 in Canvas.

Required readings:

Generally Accepted Recordkeeping Principles ®. Read about the principles here https://www.arma.org/page/principles and then Appendix A of ARMA International TR 30-2017 Implementing the Generally Accepted Recordkeeping Principles (2017). ARMA International. Available on Canvas.

ISO/TC 46/SC 11. (2016). ISO 15489-1:2016 - Information and documentation - Records management. Part 1: Concepts and Principles. Geneva, Switzerland: International Organization for Standardization (ISO). Access via https://guides.library.ubc.ca/standards/iso

ISO/TC 46/SC 11. (2011). ISO 30300:2020: Information and documentation –Management systems for records – fundamentals and vocabulary. Part 1: Fundamentals and vocabulary. Geneva, Switzerland: International Organization for Standardization (ISO). Access via https://guides.library.ubc.ca/standards/iso

Shepherd, E., & Yeo, G. (2003). Chapter 8: Implementing records management: Practical and managerial issues. In Managing Records: A Handbook of Principles and Practice (pp. 246-269). Facet. Available online through UBC Library.

- Organizational systems analysis
- Functions and record series

Week 3 – Sept. 27

Week 4 – Oct. 4



Business process modeling

Discussion question #4 in Canvas.

Required readings:

Shepherd, E., & Yeo, G. (2003). Chapter 2: Analyzing the Context for Records. In Managing Records: A Handbook of Principles and Practice. . London, UK: Facet Publishing. Available online through UBC Library.

Foscarini, F. (2012). Understanding functions: An organizational culture perspective. Records Management Journal, 22(1), 20-36. Available online through UBC Library.

Yakel, E. 1996. The Way Things Work: Procedures, Processes, and Institutional Records. American Archivist 59(4): 454-464. Available online through UBC Library.

Raj, J., & Owen, M. (2003). BPMN and Business Process Management: Introduction to the new Business Process Modeling Standard. Popkin Software. Available at:

https://www.omg.org/bpmn/Documents/6AD5D16960.BPMN and BPM.pdf

Software available at: https://bpmn.io

Records classification systems

Developing a functional records classification system.

Discussion question #5 in Canvas (due before start of Oct 25 class)

Required readings:

Franks, P. C. (2013). Chapter 3: Records and Information Creation and Capture, Classification, and File Plan Development. In Records and information management (pp. 57–84). American Library Association. Available online through UBC Library.

Gunnlaugsdottir, J. (2012). Functional Classification Scheme for Records. Records Information and documentation - Management systems for records - Part 1: Fundamentals and vocabulary. Management Journal, 22(2), 116–129. Available online through UBC Library.

Shephard, E. & Yeo, G. (2003). Chapter 3: Classifying records and documenting their context. In Managing Records: A Handbook of Principles and Practice. London, UK: Facet Publishing. Available online through UBC Library.

- Implementing a functional records classification system (cont'd)
- Guest speaker: Nathaniel Payne, PhD candidate, Al-assisted records classification

Week 6 – Oct. 18

Week 5 – Oct. 11

No discussion question on Canvas.

Required readings:

Bak, G. (2012). Continuous classification: Capturing dynamic relationships among information resources. Archival Science, 12, 287-318. Available online through UBC library system.

Yeo, G., & Shephard, E. (2003). Chapter 5: Managing Appraisal, Retention and Disposition. In Managing Records: A Handbook of Principles and Practice (pp. 101–145). London, UK: Facet Publishing. Available online through UBC Library.

Van Houten, G. 2010. Drafting a Function-based File Classification Plan. Information Management Journal, 44(4): 31-35. Available at: Available online through UBC Library.

- Records appraisal
- Retention scheduling
- Records disposition authorities
- In-class group presentations (Group 1)

Discussion question #6 in Canvas.

Required readings:

Franks, P. C. (2013). Chapter 4: Records Retention Strategies: Inventory, Appraisal, Retention, and Disposition. In Records and information management (pp. 85–112). American Library Association. Available online through UBC Library.

Léveillé, V., & McDonald, J. (2014). Whither the retention schedule in the era of big data and open data? Records Management Journal, 24(2), 99–121. Available online through UBC Library

Man, E. (2010). A functional approach to appraisal and records scheduling. Records Management Journal, 20(1), 104-116. Available online through UBC Library.

Serewicz, L.W. (2010). Do we need bigger buckets or better search engines? Records Management Journal, 20(2), 172-181. Available online through UBC Library.

- Managing records storage and use
- The records center
- Modern organizations: common technologies, collaboration tools, electronic records management systems (ERDMS), and managing records creation and capture
- Guest speaker: Christopher Tam, ICBC Corporate information analyst
- In-class group presentations (Group 2)

Week 7 - Oct. 25

Week 8 – Nov. 1

Discussion question #7 in Canvas.

Required readings:

Shepherd, E. & Yeo, G. (2003). Chapter 4: Creating and Capturing Records. In Managing Records: A Handbook of Principles and Practice (pp. 101–145). London, UK: Facet Publishing. Available online through UBC Library.

Shepherd, E. & Yeo, G. (2003). Chapter 6: Maintaining records and assuring their integrity. In Managing Records: A Handbook of Principles and Practice (pp. 246-269). London, UK: Facet Publishing. Available online through UBC Library.

Angel, H.E. 1968. "Archival Janus: The Records Centre." American Archivist 31(1): 5-12. Available online through UBC Library.

Oliver, G., Foscarini, F., Sinclair, C., Nicholls, C., & Loriente, L. (2018). Ethnographic sensitivity and current recordkeeping. Records Management Journal. Available online through UBC Library.

- Legal and regulatory issues
- Guest speaker Dr. Darra Hofman, PhD, J.D. MARA Program Coordinator, San Jose State University School of Information

Discussion question #8 in Canvas.

Required readings:

Canadian General Standards Board. (2017). National standard of Canada; CAN/CGSB-72.34-2017: Electronic records as documentary evidence. Gatineau, Québec: National Standards of Canada. Available in Canvas.

Force, D. (2010). From Peruvian Guano to Electronic Records: Canadian Ediscovery and Records Professionals. Archivaria, 69, 49–75. Available online through UBC Library.

The Sedona Canada Principles: Addressing electronic discovery, 2nd Ed. (2016). Sedona Conference Working Group, https://thesedonaconference.org/sites/default/files/publications/The%20Sedona%20Canada%20Principles%202nd%20Ed.17TSCJ205.pdf

E.D.R.M. 2005-2016. Electronic Discovery Reference Model. Available online at https://edrm.net/edrm-model/

- Information governance
- Compliance, monitoring, and auditing

Discussion question #9 in Canvas.

Required readings:

Week 9 - Nov. 8

Week 10 - Nov. 15

Smallwood, R. F. (2014). Ch. 1: The Onslaught of Big Data and the Information Governance Imperative. Information Governance: Concepts, Strategies, and Best Practices. Germany: Wiley. Available online via UBC Library.

Listen: Episode 15: The Transition from Records Management to Information Management (archive360.com). Available at https://www.archive360.com/podcast/transition-from-records-management-to-information-management

Ryan, D., Lomas, E., McLeod, J., Childs, S., & Heaford, S. (2007). Records management capacity and compliance toolkits: a critical assessment. Records Management Journal. Available online through UBC Library.

Altepeter, Andrew (2015). Designing a Records Audit: A Controls-Based Approach. Information Management Journal. Available at: 2015 02 IM designing records audit controls-based approach.pdf (arma.org)

Franks, P. C. (2013). Chapter 9: Monitoring, Auditing & Risk Management. In Records and information management (pp. 227-248). American Library Association. Available online through UBC Library.

- Risk management: business continuity planning and vital records programs
- Writing RM Policies, procedures, standards and guidelines

No discussion question in Canvas.

Required readings:

Franks, P. C. (2013). Chapter 2: Building an Information Governance Program on a Solid RIM Foundation. In Records and information management (pp. 29–57). Available online through UBC Library.

Lemieux, V., & Krumwied, E. (2011). Managing records risks in global financial institutions. In L. Coleman, V. Lemieux, R. Stone, & G. Yeo (Eds.), *Managing Records in Global Financial Markets: Ensuring Compliance and Mitigating Risk* (pp. 91-106). Available online through UBC Library.

Cox, R.J. (2006). Seven paths to developing or sustaining RIM programs. The Information Management Journal 40(2), 48-57. Available online through UBC library.

Jones, V. 2011. "How to Avoid Disaster: RIM's Crucial Role in Business Continuity Planning." Information Management 45(6): 36-47 Available online through UBC Library.

 Beyond RM – new technologies, trusting records in an age of disinformation, data sprawl, other topics Week 12 – Nov. 29

Week 11 – Nov. 22

Recorded presentations (Group 1)

Discussion question #10 in Canvas.

Required readings:

Franks, P. C. (2013). Chapter 7: Emerging Technologies and Records Management. In Records and information management (pp. 167–198). American Library Association. Available online through UBC Library.

Lemieux, V.L Blockchain Technology for Recordkeeping: Help or Hype? Available on Canvas.

King, J. (2019). Digital Culture Change. ARC Magazine, p. 23, https://www.archives.org.uk/images/ARC Magazine/2019/ARC Mag Dece mber 2019.pdf.

Watch 3 min video by Lois Evans, "Digital Climate Change": https://ischool.ubc.ca/2022/04/doctoral-student-lois-evans-named-finalist-in-2022-sshrc-storytellers-challenge/

Listen: Episode 14: The Changing Information Governance Environment in the Age of COVID-19 (archive360.com). Available at https://www.archive360.com/podcast/information-governance-environment-in-the-age-of-covid-19

Final Class

- Guest speakers Careers in records and information management, iSchool Alumni:
 - Alysha Joo, Knowledge and Records Management Specialist, BC Land Title & Survey Authority (LTSA)
 - o Janna Avon, Digital initiatives librarian
 - Amy Spooner, Records and Information Management Specialist, College of Physicians and Surgeons
 - ARMA presentation
- Recorded presentations (Group 2)

No required readings.

Week 13 – Dec 6 Final Class

Attendance: It is expected that students attend <u>all</u> weekly classes. Should a student become ill or is unable to attend class for any reason, please notify me immediately and arrangements will be made to make available course lecture materials. Any penalties imposed for unexplained or excessive absences are at the discretion of the instructor. If you miss class because of illness, the following strategies can be adopted to ensure that you do not fall behind:

- Make a connection early in the term to another student or a group of students in the class. You
 can help each other by sharing notes. If you don't yet know anyone in the class, post on the
 discussion forum to connect with other students.
- Consult the class resources on Canvas.
- Use the discussion forum for help.

 If you are concerned that you will miss a key activity due to illness, contact the instructor to discuss.

If I must cancel class, I will make every reasonable attempt to communicate plans for class as soon as possible via Canvas. Our classroom will still be available for you to sit in, and alternate arrangements will be made for covering any scheduled in-class content deemed essential for that class.

COVID-19 Safety: Per the most recent <u>UBC Broadcast</u>, you are no longer required to wear a mask, yet UBC recommends that you do in indoor public spaces. Daily health checks and frequent hand-washing are advisable. Whether you choose to wear a mask or not, please be mindful and accepting of each other's choices and comfort levels as we navigate the new academic year. Please maintain a respectful environment (<u>UBC Respectful Environment Statement</u>).

Evaluation: All assignments will be marked using the evaluative criteria given on the <u>iSchool web site</u>, and, more specifically, in accordance with assignment grading rubrics. Assignments will be regraded only in exceptional circumstances. Missed assignments will be dealt with according to the policy outlined under academic concessions (below).

Required Materials: Students will need a stable internet connection, and access to UBC's Canvas system. Students should ensure that they have registered to receive communications via Canvas.

Academic Concession: If you miss marked coursework for the first time (assignment, exam, presentation, participation in class) and the course is still in-progress, **speak with me immediately** to find a solution for your missed coursework. Any concessions that will result in a change to the student record (such as late withdrawal from the course) will be referred to the Faculty of Graduate and Postdoctoral Studies for evaluation. If this is not the first time you have requested concession or classes are over, please consult the <u>Faculty of Graduate and Postdoctoral Studies' webpage on academic concession</u>, and then contact me where appropriate.

Policies and Resources to Support Student Success: UBC provides resources to support student learning and to maintain healthy lifestyles but recognizes that sometimes crises arise and so there are additional resources to access including those for survivors of sexual violence. UBC values respect for the person and ideas of all members of the academic community. Harassment and discrimination are not tolerated nor is suppression of academic freedom. UBC provides appropriate accommodation for students with disabilities and for religious and cultural observances. UBC values academic honesty and students are expected to acknowledge the ideas generated by others and to uphold the highest academic standards in all of their actions. Details of the policies and how to access support are available here (https://senate.ubc.ca/policies-resources-support-student-success)

Academic Integrity: The academic enterprise is founded on honesty, civility, and integrity. As members of this enterprise, all students are expected to know, understand, and follow the codes of conduct regarding academic integrity. At the most basic level, this means submitting only original work done by you and acknowledging all sources of information or ideas and attributing them to others as required. This also means you should not cheat, copy, or mislead others about what is your work. Violations of academic integrity (i.e., misconduct) lead to the breakdown of the academic enterprise, and therefore serious consequences arise and harsh sanctions are imposed. For example, incidences of plagiarism or cheating may result in a mark of zero on the assignment or exam and more serious consequences may apply when the matter is referred to the Office of the Dean. Careful records are kept in order to monitor and prevent recurrences. A more detailed description of academic integrity, including the University's policies and procedures, may be found in the UBC Calendar: Student Conduct and Discipline. Academic misconduct includes cheating, plagiarism, and self plagiarism http://www.calendar.ubc.ca/vancouver/index.cfm?tree=3,54,111,959 (§7)

Academic Accommodation for Students with Disabilities: Academic accommodations help students with a disability or ongoing medical condition overcome challenges that may affect their academic success. Students requiring academic accommodations must register with the Centre for Accessibility (previously known as Access & Diversity). The Centre will determine that student's eligibility for accommodations in accordance with Policy LR7: Accommodation for Students with Disabilities (Joint Senate and Board Policy). Academic accommodations are not determined by your instructors, and instructors should not ask you about the nature of your disability or ongoing medical condition, or request copies of your disability documentation. However, your instructor may consult with the Centre for Accessibility should the accommodations affect the essential learning outcomes of a course.