

**LIS 9203: Records Management**  
**Friday 1:30-4:15**  
**Room FNB 3220**

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**COURSE DESCRIPTION:** The course will introduce the key elements of records management and its role in controlling recorded information in support of organizational activities. The records life cycle and continuum models, primary records management functions, expanding role of electronic document management, and contemporary issues facing information management professionals, including the proliferation of electronic records, will be explored. Emphasis will be placed on integrating traditional paper-based and contemporary electronic recordkeeping systems. The principles and techniques involved in developing and implementing effective records management programs will be discussed. Content will be presented through lectures, discussion exercises, written assignments, and readings from the professional literature.

**COURSE OBJECTIVES:** Students who complete this course will:

1. have an understanding of the need for a records management system and apply contemporary Records Management principles [MLIS Goal 2, Objectives (a) & (f)];
2. have an understanding of how records management works in an integrated information system with specific understanding of electronic document management [MLIS Goal 2, Objectives 1(a) & (h)]; and
3. be able to apply records management techniques in a practical work environment [Goal 2, Objectives 1(g), (h) & (i)].

**COURSE PREREQUISITE:** LIS 9002 (Organization of Information).

**COURSE REQUIREMENTS & EVALUATION:** The final mark is calculated as follows:

Participation	10%
Mandatory Assignments (2 @15% each)	30%
Essays (2 @15 % each)	30%
Project	<u>30 %</u>
TOTAL	100%

Students will be given a numerical grade for each assignment. Written assignments are assessed according to the grading guidelines in the Graduate Student Handbook and the following criteria:

1. Substantial content, i.e., mastery of concepts, critical thinking, original thought, relevance, accuracy, comprehensiveness
2. Quality of thought and expression, i.e., focused, organized, logical, clear, concise
3. Sources used; proper documentation of sources (i.e., footnotes/endnotes, bibliography)

Participation (10%): Students are expected to review and be prepared to discuss 3-4 items (e.g., book chapters, journal articles, and electronic resources) from the course reading list each week. The evaluation of participation is based on the quantity and/or quality of in-class contributions, which can take the form of participation in group discussion exercises, general observations, comments on readings, questions, etc.

Mandatory Assignments (30 %): Students will be asked to complete a mandatory assignment in Week 5. The second mandatory assignment will be given in Week 8. These assignments will allow students an opportunity to ensure the terminology discussed to date is understood using questions and examples.

Essays (30%): Students must submit two (2) 1500-word essays chosen from a list of seven (7) topics that reflect the major issues covered in the course. Each essay is worth 15% of the final mark. The essay topics will be provided at the first class (week 1). The essay due dates will depend on the specific topics chosen and will range from week 3 to week 10. Essays should include a minimum of five sources and citations should follow the appropriate format.

Project (30%): Students must undertake a project chosen from the options below. Each team or individual must submit a report and take part in an informal in-class discussion (not a formal presentation) of the results of their work and their experiences during the project. The report is anticipated to be due in week 12; the informal discussion will take place in week 12 and/or 13.

Project requirements follow in this outline before the weekly schedule. If the case study option is chosen, the case studies will be provided at a later date. Students must confirm the option selected (and team partners if appropriate) by Week 5. Final details, such as topic, must be confirmed by Week 6; part of that class is reserved for project discussion. Reports are due in Week 12 and information discussions will occur in Week 13.

Late Submission Penalty: Any assignment submitted after the due date will be penalized at a rate of 2% per day unless prior arrangements for late submission are made with the instructor.

**ATTENDANCE**: As there are no formal written examinations in the MLIS program, participation in classes is an essential part of the learning experience and provides part of the basis for academic assessment of a student's knowledge. ***Students are therefore required to attend every class of each course in which they are enrolled.*** Classes depend upon the participation of members and absence from a class may deprive the individual or the group of a significant exchange of information.

Students will be excused from class only for serious illness or family emergencies. Skipping a class in order to complete an assignment for this course or another course is not excusable. The need to leave class for co-op or other job interviews should be discussed with the instructor in advance. If for any reason a student is prevented from attending a particular class because of illness or an emergency, the matter must be discussed with the instructor as soon as possible. If the instructor cannot be reached, students should contact FIMS Student Services at 661-4017 or email [morrison@uwo.ca](mailto:morrison@uwo.ca). ***In general, students must not absent themselves from a class without prior permission of the instructor.*** There may

be penalties for any absence from class at the discretion of the instructor, including lowering the final grade and/or requiring make-up work to be completed. ***Missing a class on more than two occasions is grounds for failure in the course.***

Attendance requirements also include punctual arrival. Late arrivals are discourteous, disruptive and unprofessional. Instructors may choose to reflect multiple instances of late arrival in course grades. ***Chronic lateness resulting in a significant amount of missed class time is grounds for failure in the course.***

**PLAGIARISM:** Students must write their essays and assignments in their own words. Whenever students take an idea, or a passage from another author, they must acknowledge their debt both by using quotation marks where appropriate and by proper referencing such as footnotes or citations. Plagiarism is a major academic offence.

Scholastic offences are taken seriously and students are directed to read the appropriate policy, specifically, the definition of what constitutes a Scholastic Offence, at the following Web site: [http://www.uwo.ca/univsec/pdf/academic\\_policies/appeals/scholastic\\_discipline\\_grad.pdf](http://www.uwo.ca/univsec/pdf/academic_policies/appeals/scholastic_discipline_grad.pdf)

**SUPPORT SERVICES:** Students who are in emotional/mental distress should refer to Mental Health@Western <http://www.uwo.ca/uwocom/mentalhealth/> for a complete list of options about how to obtain help.

### **LIS 9203: Records Management** **Summer 2018 Project Requirements**

**Introduction:** The project is designed to provide students with an opportunity to obtain practical experience, research retention and disposal requirements, or investigate a current issue in records management theory or practice.

**Evaluation:** The project is worth 30 % of the final course mark. Reports submitted after the due date will be penalized 2% per day unless a request for late submission is submitted and approved in advance.

**Deadlines:** Students must confirm the option selected (and team partners if appropriate) by. Final details, such as topic must be confirmed by June 9, 2018; part of that class is reserved for project discussion. Reports are due on August 3, 2018. Informal discussion of project results will take place on August 3 and August 10, 2018.

#### **Option 1: Practical Project/ Case Study**

Working in groups, students will be asked to act as consultants and write a records management proposal based on several different case study scenarios. The student will review the appropriate literature, identify key issues, and analyze potential implications for the organization.

The student(s) must prepare a report (approximately 18-20 pages; 4500-5000 words, plus full bibliography) that should, at a minimum, describe the issue and its relevance to records management, summarize the current literature and, where applicable, identify any controversies, describe and analyze key areas of interest or concern, and, as appropriate, propose solutions or alternatives based on the student's conclusions.

The report must clearly identify the nature and extent of the contributions of each team member.

### **Option 2: Retention and Disposal Scheduling**

Working independently, students will develop specific retention and disposal recommendations for their own personal records.

This will require researching legal requirements, identifying potential administrative and operational needs as well as historical value, identifying access and security access issues and, where applicable, comparing practices in various jurisdictions.

Each student must submit a report (approximately 14-16 pages; 3500-4000 words, plus select bibliography as appropriate) describing the results of the project. The report should describe the methodology followed, the informational contents of the series, the various uses to which the records are put, the various values/criteria that were assessed in making the retention and disposal decisions, any specific problems identified, the extent to which the experience was consistent with or deviated from what was expected based on course readings and class discussion, and other information pertinent to the schedule, such as retention practices in other jurisdictions (where they can be determined). The report should conclude with the results of the analysis, including specific recommendations on how long to keep the records for their active and semi-active periods and what their final disposition should be. The specific recommendations can be presented in narrative form or as a schedule document, using whatever format is deemed appropriate by the team.

### **Option 3: Research Paper**

Working alone, each student will select and research a contemporary issue in records management theory or practice (the topic must be discussed with and approved by the instructor). The student will review the appropriate literature, identify key issues, and analyze potential implications for individual records managers, records programs, and/or the profession.

The following are a few examples of topics that can be considered, but the student is encouraged to propose a topic on any aspect of records management that is of particular interest:

- Current trends in the use of digitization to support retrieval and preservation of records.
- The importance of records management in achieving ISO compliance.
- The relationship between records management and knowledge management.
- The evolution of records management as a profession
- The relationship between records managers and information technology professionals
- Social media and records management
- Cloud storage and records management
- Generally Accepted Records Keeping Practices (GARP)
- Information Governance

**Note:** A student may select one of the assigned essay topics as the basis for the research paper. However, the decision to do so must be made and communicated to the instructor before the due date of the particular essay. The same topic cannot be submitted as both an assigned essay and the research project.

The student must prepare a report (approximately 18-20 pages; 4500-5000 words, plus full bibliography) that should, at a minimum, describe the issue and its relevance to records management, summarize the current literature and, where applicable, identify any controversies, describe and analyze key areas of interest or concern, and, as appropriate, propose solutions or alternatives based on the student's conclusions.

**WEEKLY SCHEDULE:**

Week / Date		Topic	Assignment Due	Projects
1	May 11, 2018	Introduction to Records Management		
2	May 18, 2018	Records Management Programs and Functions		
3	May 25, 2018	Nature of Modern Records; Life Cycle and Records Continuum Models <b>Guest Speaker: Shannon Mighton, Records Manager, Thames Valley Discript School Board</b>	1	
4	June 1, 2018	Records Inventory and Analysis	2	
5	June 8, 2018	Records Retention and Disposal	3 <b>Mandatory assignment due</b>	Option (and team members) chosen
6	June 15, 2018	Filing Systems, Classification and Operations	4	Details finalized; In-class discussion
7	June 22, 2018	Vital Records and Contingency Planning	5	
8	June 29, 2018	Records Centre Operations; Records Destruction	6 <b>Mandatory Assignment due?</b>	
	July 2-6	<i>Reading Week</i>		
9	July 13, 2018	Storage and Retrieval Systems <b>Guest Speaker: Steve Todd, Polar Imaging.</b>	7 <b>Mandatory Assignment due?</b>	
10	July 20, 2018	Generally Accepted Recordkeeping Principles Information Governance Professionals ARMA studies <b>Christine Ardern: TBC</b>		
11	July 27, 2018	Implementing and Managing Records Management Programs <b>Robin Keirstead: TBC</b>		
12	August 3, 2018	Electronic Records Issues Discussion Forum		Reports Due
13	August 10, 2018	Course Review; Informal Project Discussion		