

**LIS 9203: Records Management
Winter 2020
Thursday 1:30-4:15
Room FNB 3220**

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Office Hours – FNB 4122 - Thursday - noon-1:30 pm or by appointment

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 (1 @15% each)	10 %
Essays (3 @15 % each)	45 %
Project	<u>35 %</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 (10 %): Students will be asked to complete a mandatory assignment in Week 5. This assignment will allow students an opportunity to ensure the terminology discussed to date is understood using questions and examples.

Essays (45%): Students must submit three (3) 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. One essay will be due within the first three weeks (weeks 3-6) and the other two are the student's choice.

Project (35%): Students must undertake a project chosen from three options. These are:

- A case study where students are asked to form groups with no less than three members and no more than four members.
- A personal records management project where the student is asked to create a personal program for paper or electronic records. Topics would include classification, vital records management and retention and disposition.
- A research paper based on a records management issue. A topic must be done in consultation with the Instructor to ensure enough literature is available.
- 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.

Details for the projects will be presented in Week 3.

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.

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

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.

6.02 STATEMENT ON STUDENT ACCESSIBILITY SERVICES (SAS)

Western is committed to achieving barrier-free accessibility for all its members, including graduate students. As part of this commitment, Western provides a variety of services devoted to promoting, advocating, and accommodating persons with disabilities in their respective graduate program.

Graduate students with disabilities (for example, chronic illnesses, mental health conditions, mobility impairments) are encouraged to register with Student Accessibility Services, a confidential service designed to support graduate and undergraduate students through their academic program. With the appropriate documentation, the student will work with both SAS and their graduate programs (normally their Graduate Chair and/or Course instructor) to ensure that appropriate academic accommodations to program requirements are arranged. These accommodations include individual counselling, alternative formatted literature, accessible campus transportation, learning strategy instruction, writing exams and assistive technology instruction.

For more information, see <http://www.sdc.uwo.ca/ssd/>

LIS 9203: Records Management 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 35 % 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; part of that class is reserved for project discussion. Reports are due on 2 August 2019 with informal discussion that week and the following week.

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: Please complete one essay from the first three topics (Weeks 3-6)

Week / Date		Topic	Assignment Due	Projects
1	9 Jan 2020	Introduction to Records Management		
2	16 Jan 2020	Records Management Programs and Functions		
3	23 Jan 2020	Nature of Modern Records; Life Cycle and Records Continuum Models	1	
4	30 Jan 2020	Records Inventory and Analysis	2	
5	6 Feb 2020	Filing Systems, Classification and Operations	3	Option (and team members) chosen
6	13 Feb 2020	Records Retention and Disposal	4	Details finalized; In-class discussion
	17-22 Feb 2020	<i>Reading week- no class</i>		
7	27 Feb 2020	Vital Records and Contingency Planning	5 Mandatory assignment due	
8	5 March 2019	Records Centre Operations; Records Destruction	6	
9	12 March 2020	Storage and Retrieval Systems	7	
10	19 March 2020	Implementing and Managing Records Management Programs		
11	26 March 2020	Information Governance		
12	2 April 2020	Electronic Records Issues Discussion Forum		Reports Due
13	9 April 2020	Course Review; Informal Project Discussion		

Assignment 1: Due Thursday 23 January 2020.

Records Life Cycle/Continuum: Compare and contrast the traditional records life cycle model with the increasingly popular records continuum model. Explain why the continuum is generally considered to be more applicable to today's multi-media records-keeping environment. As part of the discussion, describe how the use of a model – regardless of which one is used – supports the successful implementation of records management programs and functions.

Assignment 2: Due Thursday 30 January 2020.

Records Inventory and Analysis: An often-overlooked aspect of the records inventory process is the human element – the interaction between those conducting the inventory and those responsible for the records being examined. Describe what you believe are the 'human' issues that must be considered when planning and actually conducting an inventory. Identify the types of problems that may be encountered if the human dimension is not addressed satisfactorily. Describe the impact these problems may have in the short term, on the success of the inventory process, and in the longer term, on subsequent records management program activities.

Assignment 3: Due Thursday 6 February 2020.

Filing Systems, Classification and Operations: There are many similarities between library classification systems and those used to classify an organization's active records. Describe the advantages and disadvantages associated with using a standard library classification system to organize, file and retrieve information contained in active records (you can address this in general terms or choose a specific library classification system). Would you recommend such a practice? Why or why not? Does it depend on the type of organization generating the records to be classified?

Assignment 4: Due Thursday 13 February 2020.

Records Retention and Disposal: Of all records management functions, retention and disposal scheduling is considered by many to be the most important. Indeed, some might go so far as to argue that most if not all other functions should support the effective application of informed retention and disposal decisions. Why do you think this is? Do you agree with this assessment or do you think it places a disproportionate emphasis on retention and disposal scheduling, at the expense of other records management functions? Explain the rationale for your conclusion.

Reading week- 17-22 February 2020

Assignment 5: Due Thursday 27 February 2020.

Vital Records and Contingency Planning: Think about the types of personal records that most people receive, use and maintain. In practice, which ones do you consider to be 'vital' to an individual? In other words, which ones are necessary for that person to be able to continue to function effectively, on a day-to-day basis and/or in society generally? Explain the rationale for your selections. Describe what – realistically – the average person can do to protect these records from damage or loss. [Hints: You can use your own records as examples, but do not limit yourself if you do not maintain the types of records that the 'average' person would have. Be careful not to confuse 'vital' records with 'archival' records.]

Assignment 6: Due 5 March 2020.

Records Centre Operations: Some organizations operate their own in-house records centres, which may be located on or off-site, to store semi-active records. Others contract service with external, commercial records centre facilities. Still others make use of both options. Describe the advantages and disadvantages of the two records storage options (i.e., operating your own records centre or using a commercial service). Identify the main factors to consider when deciding which is most cost-effective. What approach you would recommend for a long-established, mid-size insurance company with its head office located in a downtown London office tower and regional offices in Windsor, Kitchener and Hamilton. Why?

Assignment 7: Due 12 March 2020.

Storage and Retrieval Systems: Describe what you believe are the main challenges facing records managers as they move from traditional practices for storing and retrieving information that originated with paper-based records to those necessitated by the proliferation of other media formats, most notably electronic records. What are some of the similarities and differences in terms of general approach and practical impact? What do you see as the potential solution(s)? As part of your response to the final part of the essay, you can discuss how technology can assist records managers, but the focus should be on approaches and strategies, not technological solutions per se.