INF2175: MANAGING ORGANIZATIONAL RECORDS I

Course Description
An introduction to principles, conceptual issues, and practical problems of managing organizational records, both paper-based and electronic. Reviews the legal, administrative, and technical environments that affect the creation, management and use of records. Discusses standards and policies that relate to organizational records and examines functional requirements for recordkeeping. Identifies organizational and human factors that affect the creation and use of records. Finally, the course acquaints students with the strategies, techniques and tactics for ensuring that electronic records are captured, preserved and usable over time.

Course and Learning Objectives
Enable students to discuss and evaluate fundamental concepts, principles and methods related to the management of current records in contemporary business environments;

Enable students to apply theoretical knowledge of records management concepts, principles and methods to situations that may occur in real-life business environments;

Develop interrelated core competencies in the domains of business, records and information management, technology and risk management;

Develop an understanding of the multidisciplinary aspect of the records management profession.

Winter 2016
Mondays, 1:10 pm to 4:00 pm
Room 507

Instructor
Rebecka Sheffield
rebecka.sheffield@utoronto.ca
Office: Bissell 618

Teaching Assistants
Amir Lavie
amir.lavie@mail.utoronto.ca
Christie Oh
christine.oh@mail.utoronto.ca
Course Topics

- History and development of the management of current records
- Theoretical conceptualizations of the record
- Records management concepts, theories, standards and frameworks
- Business systems and functional analysis
- Records classification system design and implementation
- Records retention and disposition authority development and implementation
- Managing records creation and capture
- Managing records storage and use
- Managing and implementing records disposition and destruction
- Developing records management policies, procedures and programmes
- Risk identification, assessment and management
- Business continuity planning and vital records protection
- Technology and its impact upon records and recordkeeping systems

Evaluation Milestones

This course includes two assignments and one exam, with dates and weights as shown below, and a participation mark. See pp. 11-12 for a description of the two assignments.

<table>
<thead>
<tr>
<th>Item</th>
<th>Descriptions</th>
<th>Due</th>
<th>Weight</th>
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<tbody>
<tr>
<td>Assignment #1</td>
<td>Presentation on recordkeeping in an organizational context; topics assigned in Week 2</td>
<td>Week 4 or Week 5</td>
<td>25%</td>
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<tr>
<td>Assignment #2</td>
<td>Formal paper on an issue related to the management of organizational records. Students must submit a proposal no later than three weeks prior to the deadline for submission of the full paper.</td>
<td>Week 7 Week 10</td>
<td>5% 30%</td>
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<tr>
<td>Participation</td>
<td>Being in class is not sufficient to earn the full participation mark. Students must engage with the material and demonstrate their understanding during discussion periods.</td>
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<td>10%</td>
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<tr>
<td>Final Test</td>
<td>A three-hour exam, consisting of both short and long answer questions, covering all lectures and some course readings.</td>
<td>Week 12</td>
<td>30%</td>
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Course Materials
In addition to supplemental readings listed in the lecture schedule and provided via Blackboard, there is one required textbook for the course:


This book is on short-term loan at the Inforum or second-hand copies can also be found in large supply between $30-$40 (e.g., see www.abebooks.com, a reputable reseller).

Students are also encouraged to explore academic journals at their leisure. Below is a suggested reading list for further exploration:

- Archival Issues
- Archival Science
- Archives & Manuscripts
- JASIST

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<tr>
<th>Archival Issues</th>
<th>Journal of Archival Organization</th>
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<tbody>
<tr>
<td>Archival Science</td>
<td>Journal of Documentation</td>
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<tr>
<td>Archives &amp; Manuscripts</td>
<td>Journal of the Society of Archivists</td>
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<tr>
<td>JASIST</td>
<td>Records Management Journal (UK)</td>
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In addition, ARMA Canada has a document library with links to useful publications and other resources. See http://www.armacanada.org/

Relationship to Master of Information (MI) Program-Level Student Learning Outcomes
This course exposes students to a wide range of concepts and techniques for understanding and managing record keeping in a variety of organizational contexts. Knowledge of records management is fundamental for many information professionals (Outcome 1). Assignments will not only prepare students to work with records in different organizational contexts, but will also provide an opportunity to contribute through research and publication to the broad field of information management (Outcome 3). With an understanding of the historical development of record keeping practices, foundational methodologies, and current trends in practice, students will become equipped to learn and critique new techniques that they may encounter in their future careers (Outcome 6).

Blackboard
Blackboard will be used in this course for the purposes of posting lecture slides, additional readings, and conveying announcements for the class. It is imperative that you have a “utoronto.ca” email address associated with your ROSI account in order to receive Blackboard announcements. Forwarding “utoronto.ca” email to gmail is not recommended.

Academic Integrity
Please consult the University’s site on Academic Integrity. The iSchool has a zero-tolerance policy on plagiarism as defined in section B.I. 1. (d) of the University’s Code of Behaviour on Academic Matters. You should acquaint yourself with the Code and Appendix “A” Section 2. Please review the material you covered in Cite it Right and, if necessary, consult the site How Not to Plagiarize.
Extensions & Late Submission of Assignments
Requests for extensions should be submitted to the instructor by email before the due date. A request will normally be granted when done well in advance, but appropriate supporting documentation may be required for last minute requests.
Late submission of an assignment carries a penalty of one grade point (e.g., from B+ to B) for each week to a maximum of two weeks; thereafter any passing assignment receives a B-minus grade.

Extensions Beyond the End of Term
Extensions beyond the term in which the course is taken are subject to guidelines established by the School of Graduate Studies (SGS). Please see: http://www.sgs.utoronto.ca/facultyandstaff/Pages/Coursework-Extensions.aspx. “The authority to grant an extension for the completion of work in a course beyond the original SGS deadline for that course rests with the graduate unit in which the course was offered, not the instructor of the course.” Students must petition the graduate unit for extensions, using the SGS Extension to Complete Coursework form.

Writing Support
The SGS Office of English Language and Writing Support provides writing support for graduate students. The services are designed target the needs of both native and non-native speakers of English and include non-credit courses, single-session workshops, individual writing consultations, and website resources. These programs are free. Please avail yourself of these services, if necessary.

Accommodations
Students with diverse learning styles and needs are welcome in this course. In particular, if you have a disability or health consideration that may require accommodation, please feel free to approach the instructor and/or the Accessibility Services Office as soon as possible. The Accessibility Services staff is available by appointment to assess specific needs, provide referrals, and arrange appropriate accommodation. The sooner you let them, and the instructor, know your needs, the sooner we can assist you in achieving your learning goals in this course.
Schedule of Lectures, Readings and Due Dates
* Please note, I have provided a list of readings in the order of importance. Ideally, you will read all of the materials prior to each class. If you are unable to commit the time, read from the top of the list down and ensure that you have at least read the relevant chapter(s) from the Shepherd & Yeo textbook.

<table>
<thead>
<tr>
<th>Date</th>
<th>Lecture Topics, Assigned Readings</th>
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<tbody>
<tr>
<td>Week 1</td>
<td><strong>Introduction to Course Material</strong></td>
</tr>
<tr>
<td>January 11</td>
<td>• What are we managing? What are records?</td>
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<td></td>
<td>• Why is records management important?</td>
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<td>• The records life cycle and the records continuum</td>
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<td><strong>Readings:</strong></td>
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<td>Shepherd &amp; Yeo: Introduction, Chapter 1: Understanding Records</td>
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<td>Week 2</td>
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<td>January 18</td>
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### Managing in an Organizational Context
- What are organizations?
- How do organizations document their activities and functions?
- Needs analysis and records inventory

### Readings:
- Shepherd & Yeo: Chapter 2: Analyzing Context for Records Management

**Remember to sign up for Assignment #1 Organizations**
### Week 3
#### January 25

**Classification Records and Documenting their Contexts**
- Designing a classification scheme (classic, functional systems)
- Principles of records creation and capture
- Assigning metadata (ISO, MoReq, DoD 5015.02)

**Readings:**
Shepherd & Yeo: Chapters 3 & 4


### Week 4
#### February 1

**Navigating Different Organizational Contexts**

**Student Presentations**

### Week 5
#### February 8

**Navigating Different Organizational Contexts**

**Student Presentations**

#### February 15

**FAMILY DAY**
Week 6  
February 22

Legal & Regulatory Issues
- Confidentiality and the rights of access
- Legislation impacting the management of records (e.g., government, corporate)
- Professional regulations impacting record keeping (e.g., professional associations and colleges, regulatory boards)

Guest Lecture: Loryl McDonald

Readings:
Shepherd & Yeo: Chapter 7: Providing Access
TBD

Week 7  
February 29

Managing Appraisal, Retention and Disposition
- Developing retention controls
- Developing appraisal strategies to aid decision-making
- Quality control and documentation
- Retention of ‘legacy’ records

Guest Lecture: Asen Ivanov, PhD Candidate, Toronto iSchool

Readings:
Shepherd & Yeo: Chapter 5

Helen P. Harrison. “4.2 Selection and Appraisal” and Sam Kula "4.3 Archival Appraisal of Moving Images" In Audiovisual Archives a Practical Reader, 1997, 144-156; Paris: UNESCO


** Midterm Course Evaluations **
** Last day to submit paper proposals **
<table>
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<tr>
<th>Week 8</th>
<th>March 7</th>
<th>Maintaining Records and Assuring their Integrity</th>
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<tr>
<td></td>
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<td>• Concepts and issues</td>
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<td>• Storage systems for paper and electronic records</td>
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<td>• Business continuity planning</td>
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<td>Guest Lecture: Charlotte Chaffey, Archivist/Records Manager, ROM</td>
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<td>Readings:</td>
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<td>Shepherd &amp; Yeo: Chapter 6</td>
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<td>TBD</td>
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<tr>
<th>Week 9</th>
<th>March 14</th>
<th>Preserving and Archiving Electronically Generated Materials</th>
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<tr>
<td></td>
<td></td>
<td>• Cloud storage, Sharepoint, EDRMS and other nightmares of the digital world</td>
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<td>• How to manager electronic records in a small office vs large organization</td>
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<td>• Best practices for born digital practices</td>
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<td>• Migration as a preservation strategy</td>
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<td>Readings:</td>
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<td>Keynotes and other sessions from the conference on Preserving and Archiving Electronically Generated Materials:</td>
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<td><a href="http://www.nycarchivists.org/ElectronicMaterialsResources/Presentations">http://www.nycarchivists.org/ElectronicMaterialsResources/Presentations</a></td>
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<tr>
<td>Week 10</td>
<td>Implementing Records Management Programs</td>
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| March 21| • Governance and policy development  
|         | • Using change management techniques to influence implementation  
|         | • Working with organizations and their stakeholders  

Readings:  
Shepherd & Yeo: Chapter 8  

** PAPERS DUE **

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<tr>
<th>Week 11</th>
<th>Disaster Planning and Final Wrap-up</th>
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| March 28| • Protecting against loss, misplacement or alternation  
|         | • Threats and hazards, risk assessment and reduction  
|         | • Responding to an disaster (Christie Oh)  

Readings:  
TBD  

** FINAL TEST **
Assignment 1: Group presentation on record keeping in an organizational context

For this assignment, students will work with a team to explore a records management needs for a particular organizational or record-keeping context.

Part I: Select an organizational or record-keeping context from the list provided in class during Week 2. You will become a team member with other students who select the same context. You will be given an opportunity during class to meet with your group, discuss the approach that you will take to complete Parts II and III.

Part II: (15%) Prepare a 15-minute presentation to take place during Week 4 and 5 that responds to the following questions:

- Describe the organization or recordkeeping context. What is the purpose of the organization? What kinds of services does it provide? Who works here? What kinds of skills or qualifications do members need to work with the organization?
- Describe the culture of the organization. Is it highly routinized or regulated? Is it more casual? What is the governance structure and how will this impact both record keeping activities and a records management program? Identify the provincial and federal laws and regulations that apply to your organization.
- Within this organization or record keeping context, what are the common activities or functions that produce records?
- Who would typically perform the records management role in the organization? Is it a team of people or a single individual. Is there a dedicated person for records management or is it managed by other members of the organization? Is it a centralized function or dispersed?
- If your team was brought in to develop and implement a records management program, what challenges would you anticipate? What would be your first steps to accomplish this task? Who would you call on for help — both within and outside of the organization?
- Discuss any additional opportunities or challenges your team might encounter if asked to consult for this organization.

Students are free to choose the format of their presentation. If slides are used, teams are expected to make their presentations available to the entire class as handouts on the day they are presenting. Presentation times will be kept to a strict 15 minutes, including time for set-up and questions.

Part III: Teams must hand in a brief statement of responsibility document on the day of their presentation. This document will state the contribution made by each group member to the assignment and should be drafted and signed off by all group members.

Evaluation Criteria: Presentations will be graded on the team’s ability to respond to the questions noted in Part II, and their ability to summarize their subject logically and concisely, to make connections with topics discussed in class or other sources, to demonstrate critical analysis of issued
involved, and to generate interest in their organizational or record keeping context. Statements of Responsibility will be taken into due account.

**Assignment #2: Formal Paper**

Students will produce a formal paper on an issue related to the management of organizational records.

The goal of this assignment is to allow students opportunity to produce a paper than might later be submitted for consideration for publication with an academic journal of their choice. As such, the requirements for format, length, and referencing style are not prescriptive, but rather should align with the requirements set by the academic journal. Be sure to carefully review the guidelines for authors, usually published on the journal’s homepage.

Students should submit a brief, 250-word abstract of their proposed paper no later than three weeks prior (Week 7) to the deadline for the assignment. This allows time for the instructor to review the abstract and provide additional support to students based on the topics of their papers.

Full papers will be due on Week 10 and should be turned in on Blackboard before midnight. Please include the name of the journal and a copy of its author guidelines.

**Tips for Producing a Strong Paper**

Read through the last few issues of the journal. What kinds or articles are published? How are they formatted? What is the style of writing? Who are they written for?

Consider topics that have not been well represented in the journal. Is there a gap in the literature that your paper might respond to? How might you build on current literature to discuss a new idea or build on existing literature?

Your thesis statement should state clearly the goal of your paper. An argumentative or persuasive paper must begin with a debatable thesis or claim. Make sure that you can feasibly argue this claim in the context of your short paper!

Write an outline. Write and outline. Write and outline.

Ask for writing help when you need it. The instructor and teaching assistants are available to meet with students to help generate ideas, review outlines and answer any questions about your writing.

**Evaluation Criteria:** Papers will be evaluated on their originality and overall effectiveness. Writing quality, including organization of thought, paragraph and sentence structure, punctuation and spelling, will also be considered in the final evaluation. Papers should also align with the guidelines for an academic journal of the student’s choice (to be indicated on the paper itself).