INTRODUCTION

Records are critical to the ability of organizations to develop their products, deliver their services, set strategic direction, and achieve competitive advantage. They are the fuel that drives organizational business and the goals and aspirations of entire societies. Increasingly, concern is being raised about the ability of organizations to establish and manage the infrastructures required to manage records (especially digital records) through time. The challenge has been in finding the expertise required to establish infrastructures for the management of records in a digital environment that are relevant and sustainable through time. Specifically they are looking for experts with competencies in records management, strategic thinking, and communications.

This course will provide students with the opportunity to fill this important gap by providing them with an in depth understanding of the issues associated with managing records in a range of digital environments. They will learn how to develop strategies for addressing the issues, and how to establish enterprise-wide records management programs that are relevant and sustainable. While the focus of the course is on the management of records in digital form (these are normally the de facto record type in most organizations) it adopts a holistic approach by addressing all physical forms of records generated in a given organizational setting.

The course uses fundamental records concepts and records management principles and approaches to identify and define the records issues typically experienced within individual business functions and processes (the vertical dimension) as well as across the organization as a whole (the enterprise-wide dimension).

The strategies for the vertical dimension are based on the characteristics of various types of business processes (from highly structured, to less well-structured or unstructured, to those supported via the web).

The strategies for the enterprise-wide dimension are based on asset management concepts and approaches designed to support the development of records management programs reflecting characteristics similar to other enterprise-wide programs established for organizational assets such as human and financial resources.
Although technical aspects are covered, the course emphasizes the management dimension and how records professionals should position themselves to become leaders in resolving the significant and often complex issues associated with the management of records in a largely digital environment.

This is an online course delivered through Blackboard. Students will work individually and in teams using online tools to meet with each other and complete assignments. The course will open with a live classroom session with teleconference support, and include two or three online conferencing sessions during the course.

Course Pre-requisite: INF2175 – Records Management

**LEARNING OBJECTIVES**

At the end of this course students will be able to:

1. Analyze organizations from a foundational record-keeping perspective that considers functions and processes, culture, and, above all, strategic priorities.
2. Describe the attributes of records and how these should be identified, defined and reflected in a given business context.
3. Identify and express requirements for the creation, capture, registration, classification, use, retention, and disposition of records and show how to reflect these requirements in a range of records-creating environments.
4. Facilitate the incorporation of records considerations in the design of often-complex business systems and other challenging record-creating environments.
5. Explain to others the attributes of the infrastructure required to manage the integrity and usability of records through time.
6. Analyze the enterprise-wide situation and facilitate the development of strategies to establish a sustainable enterprise-wide program for the management of records in a digital environment.

In addition, students will be given opportunities through exercises and assignments to:

- Think strategically about how organizations can address digital records issues and establish sustainable digital records programs within an organization.
- Communicate, knowledgeably and persuasively, the issues concerning digital records and methods for their management.
- Work effectively with others and participate in inter-disciplinary teams and initiatives.

The ultimate goal is to provide students the foundational skills and knowledge to serve in a consulting and leadership role in a variety of digital records environments.
RELATIONSHIP OF INF 2189H LEARNING OBJECTIVES TO MI PROGRAM LEARNING OUTCOMES

This course will help students understand and be conversant in the concepts, theories and practices associated with the life cycle management of records in a wide range of records-generating environments. Through the course they will develop the ability to assume a leadership role in complex records management initiatives and understand the steps involved in establishing sustainable records management programmes. They will understand how records management fits within the wider information management universe and how it contributes to the information and accountability requirements of organizations and, on a broader front, the development of a knowledge-based society. Departing from the traditional perception of records management as a low-level administrative function of little value beyond clearing office space of large volumes of paper, the course will present records management as a values-based information discipline that serves the complex information needs of an increasingly sophisticated society functioning in a primarily digital environment. The theories, practices and values imparted to the students will stimulate them to consider pursuing records management (and information management generally) as a career option and encourage them to contribute to research that will form the foundation for records management in the future.

COURSE DESCRIPTION

OVERVIEW

The course is structured in sets of two or three sessions with each set building on the previous.

- The course begins with a refresher on records concepts and an overview of key concepts related to the management of records in a range of digital environments (refers to concepts covered in the pre-requisite course on ‘records management’).
- The vertical dimension is addressed first in three sessions that examine the records issues associated with the structured, unstructured, and web environments, and then in a subsequent set of three sessions by a study of the strategies required to address the issues for each of the environments.
- The ‘special topic’ of retention, disposition and preservation of digital records is covered in two sessions.
- The following set of two sessions addresses the enterprise-wide dimension by focusing on the issues and strategies for developing organization-wide records management programs.
- In the last session students, working in teams as consulting companies, present a strategic plan for the management of records to a fictional senior executive group.

Course material will be presented through video lectures, supplementary documents, and readings. Each session has an ungraded mini-exercise to reinforce and to illustrate the learning points, offering the student opportunities to test understanding through a quiz, and to work with others in analyzing situations.
Two graded ‘individual’ assignments will require each student to apply what they have learned about the vertical dimension to:

1. Identify the issues they face in managing their own digital records and, by extrapolation, projecting on the kinds of issues that would be faced by a selected organization, and
2. Identify the strategies they believe would best address the issues.

There are three graded group assignments. Groups of five students each will work as consulting teams charged with identifying records issues and proposing strategies for both the individual digital recordkeeping environments and the organization as a whole. Each team will choose a case to study. The assignments are building blocks to presenting a strategic plan at the end of the course.

1. Identify records management issues in the three digital environments for their case.
2. Select strategies for handling those issues.
3. Prepare and present a strategic plan for the development of an enterprise-wide program for records management.

Careful attention is paid to establishing an environment of collaboration, openness and trust among the students in the course. Throughout the course they will be given the opportunity to use chats, the discussion board, and other means to promote healthy virtual connections with others in the class, with members of their team, and with the instructor.

**COURSE TOPICS AND SEQUENCE**

1. **Introduction and concepts** (September 9-15, 2012)
   - Opening face-to-face class with teleconference support (date tba).
   - Introductions.
   - Learning objectives and outcomes.
   - Review the syllabus and schedule, teamwork, assignments, grading etc.
   - Review of reading materials.
   - Orientation to technology.
   - Understanding the organization (mandate, functions, processes, etc.).
   - Overview of the vertical dimension (i.e. the perspective of the ‘business line’ or business process), the information processing environments (structured, unstructured, web, etc.), and the records management infrastructure (laws and policies, standards and practices, systems and technologies, people, accountability and management frameworks, governance structures).

   - The fundamental requirements for managing records including the standards that underpin these requirements.
• The characteristics of the structured environment from a recordkeeping perspective.
• The recordkeeping issues associated with the structured environment and how these issues relate to the overall infrastructure for managing records.
• The implications of the issues (ie. risk, costs, etc.) for the business of the organization.

Readings (to be refined):
http://journals1.scholarsportal.info.myaccess.library.utoronto.ca/tmp/15892320647366824693.pdf
Joint Information Systems Committee, Digital Preservation and Records Management
http://www.jisc.ac.uk/whatwedo/programmes/preservation.aspx
http://journals1.scholarsportal.info.myaccess.library.utoronto.ca/tmp/8400486747284258786.pdf
http://archivists.metapress.com.myaccess.library.utoronto.ca/content/u327764v1036756q/fulltext.pdf
http://journals1.scholarsportal.info.myaccess.library.utoronto.ca/tmp/4030973671400768020.pdf
Yeo, G. “Rising to the level of a record? Some thoughts on records and documents” Records Management Journal (January 2011), 21 (1), pg. 8-27
http://journals1.scholarsportal.info.myaccess.library.utoronto.ca/details.xqy?uri=/09565698/v21i0001/8_rttloastorad.xml

• The characteristics of the unstructured environment from a recordkeeping perspective.
• The recordkeeping issues associated with the unstructured environment and how these issues relate to the overall infrastructure for managing records.
• The implications of the issues (ie. risk, costs, etc.) for the business of the organization.
Readings (to be refined):

Individual Assignment #1 due

4. The Vertical Dimension: The Web Environment - Issues (September 30 – October 6, 2012)
   • The recordkeeping issues associated with the web environment and how these issues relate to the overall infrastructure for managing records.
   • The impact of organizations using social media tools and web-enabled cloud computing services on the management of their records.
   • The characteristics of the open data movement and the recordkeeping implications the movement presents for organizations.
Readings (to be refined):
National Archives of Australia, Archiving Web Resources: Guidelines for Keeping Records of Web-based Activity in the Commonwealth Government
National Archives and Records Administration, “A Report on Federal Web 2.0 Use and Record Value”, 2010
National Archives and Records Administration, “FAQs about managing federal records in cloud computing environments”, 2011
http://www.archives.gov/records-mgmt/faqs/cloud.html
State Records Authority of New South Wales, Recordkeeping and the Cloud:

5. The Vertical Dimension: The Structured Environment - Strategies (October 7- 13, 2012)
   • The general requirements for managing records in the digital environment and why these requirements are applicable regardless of the diversity of digital environments reflected in most organizations.
   • The key standards used both to guide and assess the management of records regardless of the nature of the digital environment.
   • The role of the systems development life cycle and other IT concepts (including the overall infrastructure for managing IT projects and operations) in supporting the management of records in the structured environment.
• The strategies that should be employed to reflect recordkeeping requirements (with the focus being placed on retention, preservation, and records authenticity) in the design of application systems supported in the structured environment.

• Overview of the strategies for managing records in the structured environment (methods, tools, and approaches).

• Readings (to be refined):
  http://www.irmt.org/documents/educ_training/term%20resources/IRMT_Good_Practice_Indicators.pdf
  Minnesota State Archives, Electronic Records Management Guidelines
  http://www.mnhs.org/preserve/records/electronicrecords/erguidelines.html
  National Archives of Australia, Guidelines for Implementing the Functional Specifications for Recordkeeping Functionality in Business Information Systems Software
  http://journals1.scholarsportal.info.myaccess.library.utoronto.ca/tmp/8400486747284258786.pdf

Group Assignment #1 due

6. The Vertical Dimension: The Unstructured Environment - Strategies (October 14-20, 2012)

• Why strategies for the management of records in the unstructured environment must account for the ‘personal’ dimension (i.e. user autonomy, etc.).

• The attributes of the shared drive environment and the way in which records are typically managed in shared directories.

• The steps involved in enhancing shared directories.

• The reasons why an enhanced shared directory is not a recordkeeping system.

• The attributes of an EDRMS.
• The steps involved in introducing an EDRMS into the unstructured environment and the challenges this can present.
• The attributes of workflow driven recordkeeping and why this concept is more a vision than a reality.

Readings (to be refined):
European Commission, MoReq2 / MoReq2010
How MoReq 2010 differs from previous electronic records management (ERM) system specifications (blog James Lappin, May 6, 2011)
http://thinkingrecords.co.uk/2011/05/06/how-moreq-2010-differs-from-previous-electronic-records-management-erm-system-specifications/
Industry Canada, Shared Directory Guide (see DOCUMENTS folder in Blackboard)
Principles and Functional Requirements for Records in Electronic Office Environments - Module 1: Overview and Statement of Principles
http://www.ica.org/en/node/38972
http://www.ica.org/en/node/38970
http://journals1.scholarsportal.info.myaccess.library.utoronto.ca/tmp/15469078602586772616.pdf
National Archives and Records Administration, E-Gov Electronic Records Management Initiative: Recommended Practice: Analysis of Lessons Learned for Enterprise-wide ERM Projects, 2006
http://www.archives.gov/records-mgmt/initiatives/erm-products.html
Queensland State Archives, Guideline for the Planning of an Electronic Document and Records Management System
US Department of Defense (DOD), Standard: Records Management Application
http://jitr.fhu.disa.mil/recmgmt/

• The characteristics of the web environment (i.e. based on a range of processes all using the web as an enabling tool).
• The manner in which organizations are using the web to carry out their business activities.
• The strategies organizations can use to address records issues associated with the web environment.
• The standards, practices, and methods that have been developed around the world to facilitate the management of records in the web environment.
• The means for assessing the effectiveness of various strategies.

Readings (to be refined):
Archives New Zealand, Guide to Managing Web Records

- Refresher on establishing retention and disposition specifications and establishing authorized retention and disposition schedules.
- The factors that influence the long-term authenticity and integrity of records in digital environments.
- The OAIS model as a framework for digital preservation.
- Readings (to be refined):
  - Digital Preservation Management, Tutorial, Cornell University
  - The Open Archival Information System (OAIS), Reference model, 2002 (Chapters 1, 2 and 4).
    [http://public.ccsds.org/publications/archive/650x0b1.pdf](http://public.ccsds.org/publications/archive/650x0b1.pdf)
  - National Archives of Australia, How we preserve digital records of Australian Government agencies
  - State Records Authority of New South Wales, Digital records preservation in the NSW public sector: a discussion paper
  - Explore the website of Open Planets Foundation
    [http://www.openplanetsfoundation.org/about](http://www.openplanetsfoundation.org/about)

**Live chat session:** views on records management and personal records with all students; opportunity to talk about upcoming group assignment on strategies. Two sessions - October 29-30, 2012 (evening)
Individual Assignment #2 due

   - The multiple strategies for the preservation of digital records.
   - Integrating the framework for digital preservation into the overall infrastructure for managing records in given digital environments.
   - Examples of digital retention and preservation projects and programs around the world.
   - Readings (to be refined):
     Archives New Zealand, Digital Continuity Plan
     Council of Australasian Archives and Records Authorities, Model Plan for an Archival Authority Implementing Digital Recordkeeping and Archiving
     Open Planets Foundation
     [http://www.openplanetsfoundation.org/about](http://www.openplanetsfoundation.org/about)

Group Assignment #2 due (consulting teams report on the strategies that should be employed to address the issues identified in Group Assignment #1 based on the assigned scenario and the recordkeeping infrastructure)

10. The Enterprise-Wide Dimension: Concepts and Issues 1 (November 11-17, 2012)
   - The components of the comprehensive digital records management infrastructure.
   - The relationship between the infrastructure and the business of organizations.
   - The asset management concepts that underpin resource management frameworks such as those established for the management of human and financial resources.
   - The properties and characteristics of a sustainable enterprise-wide program for the management of records in a digital environment.
   - The value of building partnerships with IT and understanding IT architecture as a means of fostering communication with the IT community.
   - Readings (to be refined):
     [http://archivists.metapress.com.myaccess.library.utoronto.ca/content/240053825k3v3648/fulltext.pdf](http://archivists.metapress.com.myaccess.library.utoronto.ca/content/240053825k3v3648/fulltext.pdf)
     [http://journals1.scholarsportal.info.myaccess.library.utoronto.ca/tmp/1594476376014](http://journals1.scholarsportal.info.myaccess.library.utoronto.ca/tmp/1594476376014)
11. **The Enterprise-Wide Dimension: Strategies** (November 18-24)

- The basic steps involved in developing a business case and strategic plan for the enterprise-wide management of digital records.
- The objectives and characteristics of the IT environment to which an enterprise-wide records program will be required to relate.
- The fundamentals of management and project management as they pertain to the enterprise-wide management of records.
- The steps involved in building a human resources strategy.

Readings (to be refined):

- **Generally Accepted Recordkeeping Principles**, Association of Records Managers and Administrators, (2009)
- International Records Management Trust, Planning and Managing an Electronic Records Management Program
- State Records Authority of New South Wales, A Short Guide to Implementing the Standard on Digital Recordkeeping

12. **Wrap-up** (November 29-December 5, 2012)

- What it means to be involved in developing a brief presentation on a complex subject (videos on how to design and deliver presentations will be made available to the class).
- What it means to deliver a presentation to a senior executive group.
**Group Assignment #3 due** – two live sessions in which teams present to a fictional executive group. May be done through a face-to-face classroom session or online conferencing / classroom. (TBA)

**Assignment Evaluation Recap**

<table>
<thead>
<tr>
<th>Assignment</th>
<th>Due Date</th>
<th>Percentage of Grade</th>
</tr>
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<tbody>
<tr>
<td>Individual Report – Part 1</td>
<td>End of week 3</td>
<td>15%</td>
</tr>
<tr>
<td>Individual Report – Part 2</td>
<td>End of week 8</td>
<td>15%</td>
</tr>
<tr>
<td>Group Reports</td>
<td></td>
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<tr>
<td>Phase 1: Issues</td>
<td>End of week 5</td>
<td>15%</td>
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<tr>
<td>Phase 2: Strategies</td>
<td>End of week 9</td>
<td>15%</td>
</tr>
<tr>
<td>Phase 3: Strategic Plan</td>
<td>End of week 12</td>
<td>30%</td>
</tr>
<tr>
<td>Class participation</td>
<td>Throughout</td>
<td>10%</td>
</tr>
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</table>
POLICIES

EXPECTATIONS

Team work: Working well with team members is critical in this course. There will be guides and supports to help everyone do this well, but in the end it depends on a positive attitude and willingness to fulfill responsibilities on time.

Punctuality and Late Penalties: It is essential that assignments be submitted on time. As in real-life, a great presentation that is not ready on time accomplishes nothing and may damage a presenter’s cause or reputation.

Students and teams who have an exceptional situation covered by University policy are responsible for contacting the instructor immediately to discuss it. This course assumes and relies on participation in a learning community, in which students' contributions build on one another. Failure to meet the due dates will not only incur academic penalty but also have a detrimental impact on the progress of the teams and the whole class.

Live Sessions: There will be some live sessions scheduled during the course: the opening session (session 1), a class-chat during the course (session 8), and the team presentations (session 12). Attendance is required. As well, teams will want to meet at times they set.

Writing: Students are reminded that they are required to produce graduate-level work. There will be guidelines for preparing reports and the strategic plan.

ACADEMIC DISHONESTY

Students are advised to 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. Students should acquaint themselves with the Code and Appendix “A” Section 2, review the material covered in Cite it Right and, if necessary, consult the site How Not to Plagiarize.

STUDENTS WITH A DISABILITY OR HEALTH CONSIDERATIONS

In particular, if a student has a disability or health consideration that may require accommodations, they should approach the instructor and/or the Accessibility Services Office (http://www.studentlife.utoronto.ca/accessibility.htm) as soon as possible. The Accessibility Services staff is available by appointment to assess specific needs, provide referrals and arrange appropriate accommodations.