



We acknowledge that we are on the traditional, ancestral and unceded territory of the hə́nq̓əmiḥəm 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: 2021

Course Schedule: Thursdays, 2-4:50

Location: UCEN 107

<https://learningspaces.ubc.ca/classrooms/ucen-107>

Instructor: Dr. Victoria Lemieux

Office location: IKLBC Rm 488

Office phone: 604-822-9199

Office hours: Mondays, 1-2pm, Tuesdays, 1-2pm

E-mail address: v.lemieux@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 how to undertake business systems and functional analysis; develop records classification systems and retention schedules; and write records management policies – all critical skills in managing current records. The course also will introduce students to more advanced topics in managing current records in preparation for further studies or future work experience related to the management of current records.

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. In the past, students have customized the course assignments to meet the requirements of the FNCC; for example, students have prepared in-class presentations or final papers focusing on managing the records of Tribal administrations and Indigenous data sovereignty, and the work of the Truth and Reconciliation Commission. I am open to all ideas and will work with you to define an approach that meets your learning objectives and meets the course requirements.

Learning Outcomes:

Upon completion of this course students will be able to:

1. Demonstrate an understanding of key recordkeeping frameworks, standards and principles in order to be able to apply them to the management of current records. [1.1, 3.1.2]
2. Be able to 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]
3. Be able to apply Organizational Systems Analysis in the development of a records classification system and a records retention schedule in order to manage current records. [1.1, 1.2, 1.3]



4. Be able to 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, 1.6, 1.4, 4.1]
5. Be able to connect current societal information issues with records creation, management, storage and use contexts and processes. [1.4]
6. Demonstrate the principles of effective teamwork in action. [2.2]

Course Topics:

- What is Records Management?
- Records Management Standards, Frameworks and Organizational Policies
- The Records Life Cycle and the Records Continuum
- Introduction to Records Management Strategies, Design and Implementation
- Introduction to design and implementation of records systems
- Organizational Systems Analysis
 - Contextual Analysis
 - Functional Analysis
 - Work Process Analysis
- Introduction to Records Processes and Controls
- Business Activity Classification
- Determining Retention Periods and Developing Records Disposition Authorities
- Legal and Regulatory Issues
- Records Management Processes in Diverse Contexts
- Monitoring and Auditing
- The human factor in Records Management
- Records Management Training and Awareness
- Building a career in Records Management

Prerequisites: MLIS students: completion of the MLIS core courses, plus permission of the SLAIS Graduate Adviser. MAS and Dual students take this as part of the MAS core.

Format of the course: One in person meeting per week, which will combine instructor-led lectures, with student-led presentations and group interaction to keep the pace dynamic and engaging. We are all aware that the impact of COVID-19 continues to affect all of our lives and communities. Class instruction is planned to resume in person in September. Yet, as we move towards the cooler months, indoor activities will increase, and it is possible that the Province of British Columbia will adjust its guidance with regard to schools, work, and recreation activities. In addition, there is the possibility of becoming ill. Therefore, it is important that we plan for contingencies, should circumstances change and we are unable to hold live online lectures and activities as outlined above. One way in which we can plan for eventualities is by recording lectures for those unable to attend due to illness. These will be made available for review following each lecture in order that those unable to attend on a given day can review the day's content. In addition, I may become ill and be unable to teach during the term. In the event, if at all possible, I will make arrangements for a guest lecturer to present the lecture. Finally, as I might have to travel to attend in person meetings or conferences during the term, there is a possibility that some of the lectures might be held synchronously or asynchronously online to accommodate my travel. Rest assured, details on changes will be posted on Canvas if this happens and will be as transparent and clear as possible regarding expectations if these changes are required.

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 reading list is indicated below. The recommended reading list will be distributed on the first day of class.

Course Assignments:

Assignment Name	Due Date	Weight	Graduate Competencies
Poster and presentation to class on a topical RM issue and participation in class discussion of classmates' presentations throughout the term (Group assignment)	Throughout	30%	1.2, 1.4, 1.6, 2.2, 4.1, 5.1
Organizational Analysis Assignment (Individual assignment)	October 21	30%	1.1, 1.2, 1.3
Final Paper (Individual assignment)	December 3	40%	1.2, 1.4, 1.6, 3.1.2, 4.1

Course Schedule [week-by-week]:

Topic	Date
<ul style="list-style-type: none"> Introduction to instructor Introduction to the course What is Records Management? <p>NO REQUIRED READINGS</p>	Sept. 9
<ul style="list-style-type: none"> Records Management Standards, Frameworks and Organizational Policies The Records Life Cycle and the Records Continuum <p>REQUIRED READINGS:</p> <p><i>Generally Accepted Recordkeeping Principles</i> ®. (2014). ARMA International. In CANVAS.</p> <p>ISO/TC 46/SC 11. (2016). <i>ISO 15489-1:2016 - Information and documentation - Records management. Part 1: Concepts and Principles</i>. Geneva, Switzerland: International Organization for Standardization (ISO). In CANVAS.</p> <p>ISO/TC 46/SC 11. (2011). <i>ISO 30300:2011: Information and documentation – Management systems for records – fundamentals and vocabulary. Part 1: Fundamentals and vocabulary</i>. Geneva, Switzerland: International Organization for Standardization (ISO). In CANVAS.</p> <p>Dingwall, G. (2010). Life Cycle and Continuum: A View of Recordkeeping Models from the Postwar Era. In T. Eastwood & H. MacNeil (Eds.), <i>Currents</i></p>	Sept. 16



<p><i>in Archival Thinking, 2nd ed</i> (pp. 139–161). Santa Barbara, CA: Libraries Unlimited. In CANVAS.</p> <p>IN-CLASS PRESENTATIONS DATES TO BE SET.</p>	
<ul style="list-style-type: none">• Introduction to Records Management Strategies, Design and Implementation• Introduction to design and implementation of records systems <p>REQUIRED READINGS:</p> <p>Franks, P. C. (2013). Chapter 2: Building an Information Governance Program on a Solid RIM Foundation. In <i>Records and information management</i> (pp. 29–57). Available online through UBC Library.</p> <p>Shepherd, E., & Yeo, G. (2003). Chapter 8: Implementing records management: Practical and managerial issues. In <i>Managing Records: A Handbook of Principles and Practice</i> (pp. 246-269). Facet. Available online through UBC Library.</p> <p>NO IN-CLASS PRESENTATIONS</p>	Sept. 23
<p>NATIONAL DAY OF TRUTH AND RECOGNITION (PUBLIC HOLIDAY)</p> <p>About the National Day of Truth and Reconciliation: https://apsc.ubc.ca/event/2021/save-date-national-day-truth-and-reconciliation</p> <p>NO CLASSES</p>	Sept. 30
<ul style="list-style-type: none">• Organizational Systems Analysis (Cont'd)<ul style="list-style-type: none">○ Contextual Analysis○ Functional Analysis○ Work Process Analysis <p>REQUIRED READINGS:</p> <p>ISO/TC 46/SC 11. (2008). <i>ISO/TR 26122:2008 Information and documentation: Work process analysis for records</i>. Geneva, Switzerland: International Organization for Standardization (ISO). Available in CANVAS.</p> <p>Shepherd, E., & Yeo, G. (2003). Chapter 2: Analyzing the Context for Records. In <i>Managing Records: A Handbook of Principles and Practice</i>. London, UK: Facet Publishing. Available online through UBC Library.</p> <p>Raj, J., & Owen, M. (2003). <i>BPMN and Business Process Management: Introduction to the new Business Process Modeling Standard</i>. Popkin</p> <p>Software available at: https://bpmn.io</p> <p>NO IN-CLASS PRESENTATIONS</p>	Oct. 7



<ul style="list-style-type: none"> • Introduction to Records Processes and Controls • Business Activity Classification <p>REQUIRED READINGS:</p> <p>Franks, P. C. (2013). Chapter 3: Records and Information Creation and Capture, Classification, and File Plan Development. In <i>Records and information management</i> (pp. 57–84). American Library Association. Available online through UBC Library.</p> <p>Sabourin, P. 2001. Constructing a function-based classification system: Business activity structure classification system. <i>Archivaria</i> 51, 137-54. Available online through UBC Library.</p> <p>Shephard, E. & Yeo, G. (2003). Chapter 3: Classifying records and documenting their context. In <i>Managing Records: A Handbook of Principles and Practice</i>. London, UK: Facet Publishing. Available online through UBC Library.</p> <p>IN-CLASS PRESENTATIONS CONT'D (GROUP 1)</p>	Oct. 14
<ul style="list-style-type: none"> • Determining Retention Periods and Developing Records Disposition Authorities <p>REQUIRED READINGS:</p> <p>Man, E. (2010). A Functional Approach to Appraisal and Records Scheduling. <i>Records Management Journal</i>, 20(1), 104–116. Available online through UBC Library</p> <p>Léveillé, V., & McDonald, J. (2014). Whither the retention schedule in the era of big data and open data? <i>Records Management Journal</i>, 24(2), 99–121. Available online through UBC Library</p> <p>Yeo, G., & Shephard, E. (2003). Chapter 5: Managing Appraisal, Retention and Disposition. In <i>Managing Records: A Handbook of Principles and Practice</i> (pp. 101–145). London, UK: Facet Publishing. Available online through UBC Library.</p> <p>IN-CLASS PRESENTATIONS CONT'D (GROUP 2)</p> <p>ORGANIZATIONAL SYSTEMS ANALYSIS ASSIGNMENT DUE</p>	Oct. 21
<ul style="list-style-type: none"> • Determining Retention Periods and Developing Records Disposition Authorities, cont'd • Legal and Regulatory Issues <p>REQUIRED READINGS:</p>	Oct. 28



<p>Canadian General Standards Board. (2017). <i>National standard of Canada; CAN/CGSB-72.34-2017: Electronic records as documentary evidence</i>. Gatineau, Québec: National Standards of Canada. Available in CANVAS.</p> <p>Force, D. (2010). From Peruvian Guano to Electronic Records: Canadian E-discovery and Records Professionals. <i>Archivaria</i>, 69, 49–75. Available online through UBC Library.</p> <p><i>The Sedona Canada Principles: Addressing electronic discovery, 2nd Ed.</i> (2016). Sedona Conference Working Group, https://thesedonaconference.org/sites/default/files/publications/The%20Sedona%20Canada%20Principles%202nd%20Ed.17TSCJ205.pdf</p> <p>IN-CLASS PRESENTATIONS CONT'D (GROUP 3)</p>	
<ul style="list-style-type: none"> Records Management Processes in Diverse Contexts <p>REQUIRED READINGS:</p> <p>First Nations Information Governance Centre. First Nations data sovereignty in Canada. <i>Statistical Journal of the IAOS</i> 35 (2019) 47–69. In CANVAS.</p> <p>Shephard, E. & Yeo, G. (2003). Chapter 4: Creating and Capturing Records. In <i>Managing Records: A Handbook of Principles and Practice</i> (pp. 101–145). London, UK: Facet Publishing. Available online through UBC Library.</p> <p>IN-CLASS PRESENTATIONS CONT'D (GROUP 4)</p>	Nov. 4
<p>REMEMBRANCE DAY (PUBLIC HOLIDAY)</p> <p>NO CLASS</p>	Nov. 11
<ul style="list-style-type: none"> Monitoring and Auditing <p>REQUIRED READINGS:</p> <p>Franks, P. C. (2013). Chapter 9: Monitoring, Auditing & Risk Management. In <i>Records and information management</i> (pp. 227-248). American Library Association. Available online through UBC Library.</p> <p>Ryan, D., Lomas, E., McLeod, J., Childs, S., & Heaford, S. (2007). Records management capacity and compliance toolkits: a critical assessment. <i>Records Management Journal</i>. Available online through UBC Library.</p> <p>IN-CLASS PRESENTATIONS CONT'D (GROUP 5)</p>	Nov. 18



<ul style="list-style-type: none"> • The human factors in Records Management • Records Management Training and Awareness <p>REQUIRED READINGS:</p> <p>Anderson, C. (2019). Engaging with records management. ARC Magazine, p. 12, https://www.archives.org.uk/images/ARC_Magazine/2019/ARC_Mag_December_2019.pdf.</p> <p>King, J. (2019). Digital Culture Change. ARC Magazine, p. 23, https://www.archives.org.uk/images/ARC_Magazine/2019/ARC_Mag_December_2019.pdf.</p> <p>Oliver, G., Foscarini, F., Sinclair, C., Nicholls, C., & Loriente, L. (2018). Ethnographic sensitivity and current recordkeeping. <i>Records Management Journal</i>. Available online through UBC Library.</p> <p>FINAL IN-CLASS PRESENTATIONS (GROUP 6)</p>	<p>Nov. 25</p>
<ul style="list-style-type: none"> • Building a career in Records Management <p>NO REQUIRED READINGS</p> <p>IN-CLASS PRESENTATIONS CONT'D (GROUP 7)</p> <p>FINAL PAPER DUE</p>	<p>Dec. 2</p>

Attendance: Attendance is required in all class meetings unless you are experiencing symptoms of Covid-19. If you know you are going to be absent you must inform the instructor beforehand if at all possible.

Evaluation: All assignments will be marked using the evaluative criteria given on the [iSchool web site](#), 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 [Faculty of Graduate and Postdoctoral Studies' webpage on academic concession](#), 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.