LIS 2220  
CRN 15195  
Introduction to Archives and Records Management, Fall 2004

| Time/Location | Thursdays, 2 September to 16 December. 6-8:50 PM. IS 501 |
| Instructor:  | Bernadette G. Callery |
| Office Telephone: | 412-622-8870 |
| Office Hours: | By appointment or via email |
| Office Location: | Carnegie Museum of Natural History by appointment |
| Instructor's Email: | calleryb@CarnegieMNH.org |
| Course URL: | [http://courseweb.pitt.edu](http://courseweb.pitt.edu). (Search for 05115195) |

**Course Description**

This course serves as an introduction to the responsibilities of archivists and records managers working in today’s business, government and non-profit environments, particularly the theoretical principles, methodologies and practical administration of such programs. This course presents the evolution of the several recordkeeping professions and the development of theories of the identification and management of records and recordkeeping systems. The course emphasizes the history and changing nature of records and recordkeeping systems, particularly those changes influenced by technology. As individuals preparing for careers in records management, information resources management and archival administration, students must have a clear understanding of how the concept of a record has changed and how systems governing the creation and use of records have changed and are changing.

This course introduces students to the diversity of records created and preserved from the past and those created, used and retained in the present. Specific problems of archival appraisal, the organization of and access to archives containing historical manuscript collections, the management and preservation of non-print records such as photographs and electronic records will be briefly addressed as they are treated in more detail elsewhere in the Archives curriculum.

**Course outcomes**

Upon successful completion of this course, students will know the difference between the responsibilities and activities of archivists and records managers and understand the influences of the institutional contexts in which documents are created, used and retained. Students will recognize the changing nature of the document over time and technology. Students will have the basis on which to analyze the context in which documents are created, in order to evaluate the authenticity of the document, its value for retention, its likelihood of survival and its management for later use. Students will be made aware of the various professional associations, their activities and publications.
Materials

Books and periodical articles listed below are available on reserve in the School of Information Sciences Library on the 3rd floor of the School of Information Sciences building at 135 North Bellefield Avenue. You are strongly encouraged to read the periodical articles and book chapters in situ, in order to become familiar with the overall content and style of these journals and essay collections. Books can be purchased from the University of Pittsburgh Book Store or ordered directly from online booksellers such as Amazon (http://www.amazon.com) or from professional societies such as the Society of American Archivists.

Assignments, citations to readings and websites of organizations discussed in class are included both in the hardcopy syllabus and on its electronic version at http://courseweb.pitt.edu. To use the Courseweb site,
- Type 05115195 in the search window
- Enter your student username and password to gain access to the specific course material

Please contact the instructor if you have any difficulty gaining access to any of this material, either in hard copy or in electronic form. Note that periodic updates and additions will be made to the information on the Courseweb site. Courseweb’s email functions will be used to send out notices of any changes or updates and may also be used by you to send email to any or all of your classmates or the instructor. The Courseweb site may also be used to deliver your assignments in electronic form.

Evaluation and Other Class Policies

Grading scale

Your final grade will be composed of the following:

<table>
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<tr>
<th>Component</th>
<th>Percentage</th>
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<tbody>
<tr>
<td>Class participation and discussion</td>
<td>20%</td>
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<tr>
<td>Document discussion paper</td>
<td>10%</td>
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<tr>
<td>Leadership of class discussion</td>
<td>30%</td>
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<tr>
<td>Major research paper</td>
<td>40%</td>
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Readings and Class Discussion

You are responsible for reading the weekly required texts. Notes that each week’s readings begin with a general question that will form the basis of our initial discussion of those readings in class. There will also be a specific discussion question posted in advance of each class via Courseweb.

Please note that a significant portion of your grade is based on your participation in class. Class participation enriches the learning environment of the classroom and is an opportunity to improve verbal communication and interpersonal skills essential to
successful employment. Any student not participating in class discussions will receive no higher than a B+ for the course. Students are expected to attend every class session unless excused in advance by the instructor.

Relevant Discussion Lists

While ongoing class discussion will focus on the each week’s assigned readings, it will also refer to topics discussed on one of several relevant discussion lists. Students should subscribe to one of the lists below and be prepared to comment on the ongoing discussions.

To subscribe to the Archives List Serv, send e-mail to Listserv@listserv.muohio.edu
In the body of the message: SUB Archives firstname lastname
You can search the archives of this list at http://listserv.muohio.edu/archives/archives.html

To subscribe to the Records Management List, send email to listserv@lists.ufl.edu
In the body of the message: subscribe recmgmt-l firstname lastname
You can search the archives of this list at http://ufl.edu/archives/recmgmt-l.html

Assignments

Because much of your interaction with others in these professions will be through written communications, three of your assignments are opportunities to practice your writing skills. Reminders of assignments and their due dates will appear on the Courseweb site. Assignments can be turned in through hardcopy handed to the instructor or via the Courseweb Drop Box by 6PM on the day the assignment is due. Please do not hesitate to discuss these assignments with the instructor, either in class, via email or in person outside class.

**Document discussion paper**
Select any document, briefly describe it, then discuss its value to you either as information or evidence. The purpose of this paper is to demonstrate your grasp of the introductory readings on the evidential and information content of records and to provide the instructor with a sample of your writing. **This 2-3 page paper is due in week 4, September 23.**

**Leadership of class discussion**
Choose a partner and together select one of the readings in weeks 8 to 14 and be prepared to lead a class discussion on the topic of the paper and its specific point of view. In addition, identify and read another related article, which could be one that presents the opposite point of view, for additional background on this topic. The presentation will consist of a brief (3-5 minute) oral presentation of the content of the two articles, a written executive summary of the topic and the points raised by the articles, and one discussion question designed by the presenters. **Every student should have chosen an article and indicate that choice to the instructor by week 4, September 23.** No more
than 3 presentations will be presented per class session. Each student pair is responsible for posting the citation to the second (selected) article and the discussion question to the class at least two days before the class session.

**Major research paper**

The major research paper of this course is intended to enable the student to do in-depth reading and study on a single aspect of archival administration or records management administration of interest to them or relating to their own career goals and objectives. This paper should consist of at least four parts

- Definition of the function, principle, controversy, topic or historical aspect and its importance
- Review of the literature that reflects both key points of this aspect of archival or records management administration and the development of theory on this principle or function
- Evaluation of the literature’s strengths and weaknesses, including any conclusions about research and other needs in the profession
- Assessment of how this literature would be useful to any information professional

Students must show evidence of having read at least twenty articles, and if appropriate, several monographs or textbooks for this paper. In reality, students will probably need to scan the professional literature on any given topic beyond this quantity of publications in order to identify the most important writings, research and theory on the topic. Students should plan on meeting with the instructor to discuss their paper; this meeting can be in person or via email.

A 1-2 page statement of the topic chosen for the research paper will be due to the instructor and posted to the class via CourseWeb in week 7, October 14. This should identify the topic and summarize the key points discussed in the literature. *The final form of this 20-25 page paper, is due in week 14, December 9.*

**General Requirements for Writing Papers**

All papers submitted for this course should be well written, footnoted and prepared according to the most recent *Chicago Manual of Style*. Papers that do not follow these formatting guidelines will be marked down. While preparing papers, please keep in mind the following issues.

- Make sure that the paper has a logical structure with an introduction, statement of the problem, synthesis of the relevant literature, your analysis of the problem and a conclusion.
- Read more widely than the assigned readings in the syllabus to make sure that you have examined the mainstream archival or records management literature.
- Do not simply string quotations together, but summarize and evaluate the sources you cite.
- Explain why you are selecting a particular source and note if it is representative or atypical.
Do not make broad statements that are the subject of another discipline’s area of research. Be sure to examine this literature to support your assertions.

Identify the authority of the individuals you cite in your papers. Be sure to consider their background and the perspective they may represent.

Distinguish between research and opinion-based literature.

Make note of the date of publication of your sources and be aware that even well-known writers may have changed their beliefs over time.

Proofread the paper carefully for spelling and grammatical mistakes.

Advice on Selecting a Paper Topic

For the major research paper for this course, work on narrowing your topic as the course progresses. Therefore, begin your in-depth reading immediately. For examples of possible approaches for this paper, see the following.


Richard J. Cox, “Researching Archival Reference as an Information Function,” *RQ* 31 (Spring 1992): 287-397 as an example of essays that compare basic archival or records management functions to related or similar functions in other fields.


Course Requirements: Doctoral Students

The primary assignment for doctoral students taking this course is to prepare a major publishable paper of 25-35 pages on any aspect of archives or records management approved by the instructor. Papers completed by doctoral students should possess greater depth in reading, understanding and methodology. The doctoral student should be able to explain why and how their paper fits into a longer plan of study leading to their dissertation topic. Doctoral students must identify their topic by week 7, October 14 and post it to the class via CourseWeb. The final form of the paper will be due in week 14, December 9. They will also be responsible for leading a class discussion as noted above but may omit the initial writing assignment.

Style manual

Students should adhere to the latest edition of the *Chicago Manual of Style* in the preparation of all their papers. Footnoted references to both print and electronic resources should be given in full. Abbreviated references using ibid. and op. cit should be used very sparingly. The major research paper should include a separate bibliography of works cited. Papers should use at least 1.5 line spacing.
Academic Integrity

Students will be expected to comply with the University’s Policy on Academic Integrity at http://www2.sis.pitt.edu/~wadmin/academics/information/sisacint.html

Any student suspected of violating this obligation for any reason during the semester will be required to participate in the procedural process, initiated at the instructor level, as outlined in the University Guidelines on Academic Integrity. If there is clear evidence of your presenting another's work as your own, including not citing published material or electronic resources, you will fail that assignment. Additional sanctions imposed by the School may be up to and including dismissal from the University.

Incompletes

Students will not pass the course unless they have satisfactorily met all the requirements described in this syllabus. Extenuating circumstances or other valid reasons for not completing the course assignments on time will be considered by the instructor, but the student will be required to provide evidence of the severity of the circumstances.

No incomplete grades will be given for this course, unless there were emergency circumstances affecting the student’s ability to meet course requirements.

Special Accommodations

Students with disabilities who require special classroom accommodations or other classroom modifications should notify the instructor and the office of Disability Resources & Services at http://www.pitt.edu/~osaweb/drs/index.html as early in the term as possible. DRS is located in 216 William Penn Union and can be contacted at 648-7990 (Voice), 624-3346 (Fax), and 383-7355 (TTD).

Required Texts

While all readings are available on reserve at the SIS Library, students should begin to develop their own professional library. Many of the professional societies maintain online bookstores for their own publications as well as related material and offer discounts to members.

The following books are available at the University of Pittsburgh bookstore or can be ordered from the Society of American Archivists or from online booksellers.


**COURSE AT A GLANCE**

The first day of this class is September 2, 2004; the last day of this class is December 16, 2004. There will be no class on November 24.

<table>
<thead>
<tr>
<th>Week/Date</th>
<th>Topic</th>
<th>Objectives</th>
<th>Assignments</th>
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<tbody>
<tr>
<td>Week 1</td>
<td>Introduction to course</td>
<td>Introduce professional literature and other resources</td>
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<tr>
<td>Sept. 2</td>
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<tr>
<td>Week 2</td>
<td>Significance of records</td>
<td>Explore significance of records to individuals and organizations</td>
<td>Signup for discussion leaders</td>
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<td>Sept. 9</td>
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<td>Week 3</td>
<td>Records – information or evidence</td>
<td>Analyze the changing definitions of records as information or evidence</td>
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<td>Sept. 16</td>
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<tr>
<td>Week 4</td>
<td>History of records, recordkeeping and archives</td>
<td>Survey the history of recordkeeping and archives</td>
<td>Document discussion paper due</td>
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<tr>
<td>Sept. 23</td>
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<tr>
<td>Week 5</td>
<td>Basic concepts and theories in archives and</td>
<td>Identify the basic concepts and theories influencing archives and records</td>
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<td>Sept. 30</td>
<td>records management</td>
<td>management</td>
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<td>Week 6</td>
<td>Archival functions</td>
<td>Describe the functions of archives</td>
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<td>Oct. 7</td>
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<tr>
<td>Week 7</td>
<td>Recordkeeping functions</td>
<td>Describe the functions of records management</td>
<td>Research paper topics due</td>
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<td>Oct. 14</td>
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<tr>
<td>Week 8</td>
<td>Archives and social memory</td>
<td>Analyze the uses of records in maintaining social memory</td>
<td>Class presentations begin</td>
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<td>Oct. 21</td>
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<tr>
<td>Week 9</td>
<td>Electronic records</td>
<td>Identify the specific challenges of managing electronic records</td>
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<td>Oct. 28</td>
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<td>Week 10</td>
<td>Management of visual records</td>
<td>Identify the specific challenges of managing visual records</td>
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<td>Nov. 4</td>
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<td>Week 11</td>
<td>Integration of records into organizations</td>
<td>Analyze the processes by which records serve organization needs</td>
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<td>Nov. 11</td>
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<tr>
<td>Week 12</td>
<td>Records, ethics &amp; accountability - Government</td>
<td>Examine the uses of records by government for accountability</td>
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<td>Nov. 18</td>
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<td>Nov. 25</td>
<td>Thanksgiving break. No class.</td>
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<tr>
<td>Week 13</td>
<td>Records, ethics &amp; accountability - Business</td>
<td>Examine the uses of records by business for accountability</td>
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<td>Dec. 2</td>
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<tr>
<td>Week 14</td>
<td>Records, ethics and accountability - Non-profit</td>
<td>Examine the uses of records by non-profit organizations for accountability</td>
<td>Research paper due</td>
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<tr>
<td>Dec. 9</td>
<td>sector</td>
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<tr>
<td>Week 15</td>
<td>Development of archives and records</td>
<td>Articulate the role of archivists and records managers in society</td>
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<tr>
<td>Dec. 16</td>
<td>managements professionals</td>
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Selected Professional Societies and Their Resources

American Association for State and Local History (AASLH). Valuable publications, including Technical Leaflets and useful links to regional and national organizations. http://www.aaslh.org/

ARMA International. (The Association for Information Management Professionals) http://www.arma.org/

American Society for Information Science and Technology (ASIS)  http://www.asis.org/


Professional Records and Information Services Management (PRISM) http://www.prismintl.org/


Other useful collective websites


Course Syllabus

September 2 (Week 1) Introduction to the course, discussion of assignments, and available resources

Why are you here? What is the nature of this course and how will you learn from it?

September 9 (Week 2). Significance of records and archives

What records are significant to you? What is the relationship between their form and content?

Guest Lecturer: Richard J. Cox, “Why the Archivist of the United States is Important to the Records Professions and the Nation.”

OR

September 16 (Week 3). Changing concepts of the record and the document

How has the concept of the record and the document changed over time?


September 23 (Week 4). History of records, record-keeping systems and archives

What are the significant changes in the form and content of the record over time? How have recordkeeping systems changed with advances in technology?

Note: Document discussion paper due. Also, due date for class discussion selection. All students should have signed up to lead a class discussion by this date.


Recommended readings

**September 30 (Week 5). Basic concepts and theories of archives and records management**

How do the following concepts affect archives and records management: fonds, provenance, original order, function, life cycle vs. continuum, recordkeeping warrant, appraisal, organizational and societal memory?

Note: MARAC meeting in Pittsburgh, September 30-October 2. See [http://www.lib.umd.edu/MARAC/fall2004.htm](http://www.lib.umd.edu/MARAC/fall2004.htm) for detailed program.


**October 7 (Week 6) Archival functions**

What are the changing views on the following archival functions: advocacy, access, appraisal, archival representation or arrangement and description, reference and preservation management?


**October 14 (Week 7) Records management functions**

What are the changing views on the following records management functions: records scheduling, vital records management, records classification and filing, storage and destruction, disaster preparedness and recovery?

Note: Topics for the research paper due to the instructor and posted to the class via Courseweb


October 21 (Week 8). Archives and societal memory

What types of records contribute to the maintenance of societal memory? What forms can these records take?

Note: Class presentations begin.

Elisabeth Kaplan, “We Are What We Collect, We Collect What We are: Archives and the Construction of Identity,” *American Archivist* 63:1 (Spring/Summer 2000): 126-151.


OR


October 28 (Week 9). Electronic records and their impact on organizations and individuals

What are the particular challenges of the management of electronic records in archives and records management?


OR


November 4 (Week 10). Management of visual records

How does the management of visual records differ from that of printed records?

Guest Lecturer: Karen Gracy, who will speak on the Zapruder film and the visual documentation of John F. Kennedy’s assassination, including David Wrone, The Zapruder Film: Reframing JFK’s Assassination (Lawrence, KS: University Press of Kansas, 2003).


November 11 (Week 11). Integration of records into organizations

How are recordkeeping systems integrated into the life of an organization? How do these systems change depending on the organizational culture?


November 18 (Week 12). Records, ethics and accountability – Government

What records serve as evidence in the management of government?


OR


November 25 (Thanksgiving Break) No class

December 2 (Week 13). Records, ethics and accountability – Business

How are records used to provide accountability in business?

Stanton A. Glantz et al. *The Cigarette Papers* (Berkeley: University of California Press, 1996) or online at [http://www.library.ucsf.edu/tobacco.cigpapers](http://www.library.ucsf.edu/tobacco.cigpapers)


**December 9 (Week 14). Records, ethics and accountability – Non-profit Organizations**

How do codes of ethics and records interact to provide accountability for non-profit organizations?

**Note: Research papers due**


**December 16 (Week 15). Development of the archives and records management professions**

How have the archives and records management professions changed over time?

