

**Records Management in the University of British Columbia and the University of
Pennsylvania**

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APSC 516

November 25, 2010

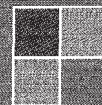
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25 Nov.
2010

Records Management in the University of British Columbia and the University of Pennsylvania

A Joint UBC SEEDS/Community Learning Project and
ARST 516: Management of Current Records Project

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Introduction

Records management, if well conducted, facilitates legal compliance, reduces unnecessary expenditures, and increases the efficiency and sustainability of an organization. Large universities present all of the records management issues common to any large organization as well as a potentially greater tendency towards decentralized and partially independent departments, offices, colleges, and campuses. As institutions of knowledge and information, universities naturally generate a great deal of written material. The structure of the University tends to lead to many “silos” maintaining records independently and unconsciously of one another, without coordinated systems for management of the organization as a whole. This paper will compare the records management programs of two universities, the University of British Columbia (UBC) and the University of Pennsylvania (UPenn). The University of British Columbia is a public institution, supported by funding from the Province of British Columbia. UBC, as of 2008, had a student population of 50,332 and 13,622 employees, but boasts a records management staff consisting of only one records management professional (“UBC Facts”)¹. The University of Pennsylvania was founded before the American War for Independence as an institution to train a rising business class, in contrast to schools of the time which focused mainly on training the clergy (“Penn’s Heritage”). Today it is a private university located in the city of Philadelphia which, as a non-profit commonwealth, receives an annual appropriation from the state. UPenn has an approximate enrolment of 24,600 full-time and part-time undergraduate and graduate students and thus is roughly half the size of UBC. Also, unlike UBC, UPenn has an extensive and well funded records management office with five professional records management

¹ Please note that most of the information in this paper is the result of the communication between the authors and the participating records management departments at the two universities which forms the basis of the project and is cited in the bibliography and, in the case of UPenn, represented in the appendix. Information from these sources is not cited in text, though information from other sources is cited throughout.

staff and nine support staff. Perhaps a few of the more important issues that the comparison of the two records management programs raises are the differences in business models and services that such programs offer; the role of records management offices within organizations; and the influence they have on record creation, tracking, organization, retention, and disposal.

Records Management at the University of British Columbia

The University of British Columbia Records Management program is limited, having only a small staff and budget, and as a result ^{it's} their activities are likely also quite limited. The University Archives consists of the University Archivist, Christopher Hives, who reports to AUL and Collections, and has a staff of three trained archivists and two support staff. The Records Management program has one full time employee, Records Manager Alan Doyle, who reports to the University Archivist. At present, the University Archives is the only identified stakeholder in the records management process, although unacknowledged stakeholders may also include the University, all departments, researchers, and future units. Prior to the hiring of the Records Manager, the University Archives Advisory Committee, later renamed the University Archives and Records Management Advisory Committee (UARMAC) was responsible from 1991-2004 for ~~the~~ oversight of the records management policy ("University Archives and Records Management Advisory Committee"). The authority to implement the policy rests with the Vice Presidents and administrative unit heads ("University Archives;" University of British Columbia Board, *Policy No. 117: 2.5*). The budget for records management at UBC is controlled through the University Archives and at this time the only funding is the salary for the Records Manager, with no operating or discretionary budget.

The mandate of the UBC Archives is to serve as the corporate memory of the institution by acquiring the permanently valuable records of staff, faculty, student, alumni, and employee organizations, as well as University publications, and thus interaction with University units is key to the Archives' existence and role within the University. Its mandate also includes coordinating the University's Records Management program ("University Archives"). The University's *Policy No. 117: Records Management* serves as the mandate for the University's Records Management program. It emphasizes that records "must be retained for as long as they are required to meet legal, administrative, operational, and other requirements of the University," and thus clearly lays out a role for the Records Management program within UBC units (2.2). That being said, the operations of the Records Management program are limited by its size and budget. There are no available storage facilities for campus units, nor are there any centralized services to help departments manage records. Records Management also receives limited support from other departments of the University. The Records Manager says that the relationship to IT is "distant" and that while Records Management does have a relationship with Legal Counsel, named in the Records Management policy as an approver of records schedules, "The policy has not worked as expected" (Doyle). The Records Management program provides up to two hours of free training for University units, fee based consultations, and presentations coordinated with the Freedom of Information Officer ("Records Management Services"). The UBC Records Management program has two other important tools ^{used} in communicating its goals, policies, and procedures to units on campus: the *Records Management Manual*_x and the Records Retention Schedules. The *Manual* gives University employees and departments a basic description of why they would want to take part in records management and what that involves, while the Retention Schedules address the management of specific active and semi-active records ("Records Retention"). Thus, the Records

Management program has a mandate for interacting with University units as well as some methods for doing so, though perhaps with less authority and means than are necessary for an effective and comprehensive records management program.

Survey of University of Pennsylvania's Records Management Program²

The University Archives for the University of Pennsylvania were established in 1945, approximately 41 years before the University Records Centre or URC, and its mandate is “to ensure the timeless preservation of historically significant documents and other materials that reflect the University's origins and development and the activities and achievements of its officers, staff, faculty, students, alumni, and benefactors” (“University Archives and Records Center”). The Archives are staffed by the Director, four archivists and three support staff and managed by the Office Manager and Technical Services Archivist, J.M. Duffin, who reports to the Director. The Director reports in turn to the President of the University (“Protocols”). The records management program for UPenn was established and opened in September 1986, due to the demand for a localized repository for active records, and to limit cost and boost efficiency. According to the mission statement, its purpose is “to provide records retention and retrieval services that assist faculty and administrative staff in the ongoing operation of the University” (“University Records Center”). It has fourteen staff, including five records management/archival professionals and nine support staff. The University Records Manager, Patricia M. Vickers, reports to the Director, who again reports to the President. The URC and Archives maintain good relationships with both IT and legal council. IT services are internal to both the Archives and the

² See Appendix A to see the SEEDS Project Survey for the University of Pennsylvania and the information communicated from Mark Frazier Lloyd, the University Director of the Archives and Records Center, during a phone interview on November 5th 2010 and e-mail communications which took place during the following week.

URC and according to Mark Lloyd the legal council for the University appreciate the “one-stop shopping” aspect of a centralized Records Center and records management program.

Due to its beginning in the 1980’s, most of the Records Management program’s mission and policies deal with records on paper or other physical media. There has been a digitization project in effect since 1999 which led to the adoption of an unofficial policy on the management of e-records. It states that “The University Records Center (URC) also provides records management services for electronic records, which include creating, maintaining, and making accessible by secure, remote access digital images of both electronic and paper records. These services have been offered since 1998 and now enjoy robust end-user features. By the close of FY 2010, the University Records Center will have more than 5.3 million images in its multiple databases of electronic records” (“University Records Center”). However, no actual policy for e-records exists, nor is there one in the making. The “Protocols for the University Archives and Records Center” act as a policy for the URC by establishing an Advisory Committee, made up of representatives of the Faculty Administration and University Central Administration, which advises the President and the Director on policy issues, as well as resolving “substantive issues which may arise regarding access and collections policy and when necessary, ...advis[ing] the President on the modification of these policies” (“Protocols”). Below the policy level, procedures are laid out in the Guidelines for the Implementation of the Records Retention Schedule (“University of Pennsylvania Records Retention Schedule”). These guidelines include the Records Retention Schedules guidelines for storage and disposition, and guidelines for handling special cases such as lawsuits and government investigations.

The budgets for the Records Center and Archives are controlled by the Director. The Archives has a dedicated budget of 2.5 million dollars (US) as an Academic Support Service,

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funded by the academic administration. The Records Center has no dedicated budget, but operates as a business, charging its customers, campus units, for its services, which include fees for supplies, storage, and services such as deposit, access, and disposition. If the Records Center runs an annual surplus, the Director feeds the profit back into the Archives, and therefore the Archives have an additional source of income independent of their dedicated budget. The on-campus Records Center is the only repository for campus units and the institution has no other centralized services to help departments manage records, but as the Director states, “Since the URC was opened in September 1986, over 800 University offices and cost centers have become customers” (“University Records Center”). These customers, namely the University Health System and the University Central Administration, are the URC’s main stakeholders.

The URC seems to interact with its customers more as an external business or a contractor than as an internal department within the same organization. Records Center staff regularly interact with customers, auditing and appraising records at the sites of their customers and providing training for University staff, especially regarding compliance with retention schedules, though this training is not extended to faculty or students. The major perceived issues for their customers are ease of access and security as customers want to be able to access their records, but are also concerned about the possibility that records may be misplaced. As Mark Lloyd pointed out, these two goals are necessarily somewhat contradictory since increased ease of access also means lower security measures, while stricter security entails greater impediments to access. Therefore, as a business the URC is concerned about responding to customer needs and not committing errors which may jeopardize the Center’s reputation and customer base. A major source of the URC’s business also comes from offices wishing to reproduce their documents in digital form. The Records Center is paid by offices on campus to scan paper and electronic

materials and to make scanned images available online and, as mentioned above, the URC now has over 5.3 million electronic images.

Comparison of Records Management Programs of UBC and UPenn

Both Universities have a policy or protocol that establishes the necessity of a records management program to their organization. UBC's policies are more general than the protocols established by UPenn, although both establish oversight for records management by committees representing the stakeholders and affirm the responsibility of the records management program to be compliant with legal requirements for retention, access, and privacy. The fact that UPenn's records management policy grew out of a conflict over access to administrative records and a need to clarify access restrictions could mean that the University, and particularly parties directly affected by the conflict, have a greater appreciation for the importance and necessity of having a records management program with clear policy guidelines and authority. By making the Director of the University Archives and Records Center directly answerable to the President, the UPenn program created a hierarchy that directly links records management to senior management: "the University Archives and Records Center shall be an administrative department within the Office of the President and the Director shall be an officer of the University reporting directly to the President" ("Protocols" II:5). By contrast, the Records Manager of the UBC program reports to the University Archivist who has little ability or capacity to implement the program outside of his or her department and relies solely on *Policy 117* for authority over the records and records management issues in other departments. As *ISO/TR 15489-2* points out in Section 2.3.2, "Senior management [of records management] should be assigned the highest level of responsibility for ensuring a successful records management programme. . . . It promotes

compliance with records management procedures throughout the organization.” The UBC Records Management program’s lack of wider organizational authority likely informs its limited ability to influence the University as a whole and effectively implement both necessary records management procedures and the Records Management policy.

Other factors also influence the records management programs’ integration into their respective organizations. For instance, the UBC program’s small size and lack of funding also limits its ability to ensure compliance and consistency throughout University units. While UPenn’s Records Center has significantly more authority, funding, and staff than UBC, its overall management and operations functions essentially as an external business that serves clients more as a contractor than as an internally integrated and authoritative department within the same organization. The result is that while the UPenn Records Center has far greater resources that would allow it to implement standards and policy compliant practices throughout the University, it is also less tied to serving the University and its units and therefore might also be less likely to implement such practices “throughout the organization.” The URC website shows this external business style of records management in its thorough attention to the needs of clients as customers, including a detailed “University Records Center Rate Schedule.”³ Both programs also interact with university units through training and while both provide training, neither seem to provide the level of training recommended by the ISO. Section 6.4.2 of *ISO/TR 15489-2* outlines recommended approaches to training that a records management program may provide to employees/clients, including orientation materials, classroom training, computer-based presentations, and briefing sessions on new initiatives, while section 6.5 recommends evaluation and review of training programs. As the ISO states, training is necessary to ensure that employees understand what records management is and why it is important and that they create and use

³ Reproduced in Appendix B.

records appropriately (6). Training is one way of interacting with the organization as a whole and exerting control on the entire life-cycle of records, one which the UBC program may not have the resources to fully implement and the URC may not have the desire to implement.

In practice, both Universities' records management programs are involved in only a limited aspect of the life-cycle of records within their respective institutions. At UBC, guidelines are provided in the form of the *Records Manual*, and while Records Management does often go to departments to appraise and select records, it tends to do this at the disposition phase of a records life-cycle and likely has limited involvement in records creation, tracking, organization, and selection of records for capture at earlier phases. UPenn's services also seem to prioritize managing records largely at the end of their active life. Elizabeth Shepherd and Geoffrey Yeo identify active involvement in the earlier phases of a record's life as integral to current and effective record management practices and stress the importance of designing records creating processes and records capture based on knowledge of the organization:

a service that focuses on the records that are least active will only be able to make a limited contribution to the effectiveness of the organization. It will be impossible for records managers to ensure that records are reliable and complete, and that all the records of an organization are accessible and useable. At best, the records management unit will try to achieve these aims but will lack the authority to coordinate records creation processes effectively; it will be obliged to do the best it can with the records it receives from the creators" (27-8).

Shepherd and Yeo envision records management as beginning before records are created and following records throughout their active and inactive life. The ISO standards discuss this aspect of records management less explicitly but throughout the standards there is an expectation that records management will take place during all stages. For example, Section 8.2.6 of *ISO 15489-1* states, "Records should be created, maintained and managed systematically. Records creation and maintenance practices should be systematized." Both institutions have established retention

schedules which appear to comply with the relevant sections of *ISO 15489-1* and *ISO/TR 15489-2*. At UBC, these schedules cover records that fall under six headings, organized by administrative function, such as “Personnel Records, Faculty,” and provide guidelines related to whether to keep the record after use is discontinued, how long to keep a record after it is no longer in use, location of records, and disposition at the end of the retention period. The guidelines at UPenn provide an even more detailed breakdown of records and retention schedules, also taking into account the ways in which legal action may affect retention requirements. The focus on record disposition in both programs is not surprising given the similar concerns of university units from both organizations with records storage and future access.

The retention of electronic records appears to be an area in which UBC is ahead of UPenn in terms of compliance and awareness. While neither institution has a true policy, the UBC University Archives’ *Records Management Manual* addresses issues of preservation, obsolescence of software, classification and management, and the often ignored hidden costs of creating, controlling, and maintaining electronic documents (3). The University of Pennsylvania’s University Records Center, on the other hand, maintains a substantial document digitization program without formally addressing these issues. This lack of policy is a potentially serious risk in terms of ^{University} their ongoing ability to preserve and access digital records. While the digitization program is administered by the Records Center and thus probably well managed, the management of other types of electronic documents produced in individual units is likely a significant issue for University offices. Guidelines would enable units to create and manage their electronic records more effectively, especially if supported by the URC. Since UBC is somewhat ahead on this already, it may be possible for ^{UBC’s} the records management program to establish a realistic policy in line with ISO15489-2:2001(E), section 4.3.7.1.

Although the ISO does not speak directly about sustainability, it seems that compliance with ISO standards would lead to a more sustainable campus. An editorial in the May 1, 2010 issue of *Information Management* outlined the advantages of a sustainable approach to records management by stating that “If space doesn’t have to be dedicated to storing paper, a facility can be smaller, which decreases construction costs and energy consumption” (“Taking a Greener Approach” 3). Sustainability is not tied to records management in any direct way at UPenn though the University has established advisory committees, an action plan, and signed the Climate Commitment in 2007, which commits to developing plans, meeting targets, and publically posting internal inventories (“President’s Endorsement”). On 15 September 2009, the Environmental Sustainability Advisory Committee (ESAC) signed off on the *Climate Action Plan*, which makes recommendations for education, conservation, waste reduction, and future sustainable design (*University of Pennsylvania Climate Action Plan*). Mark Lloyd claims that sustainability is a relatively new concept adopted by their university and that he has not invested time or manpower into facilitating changes to his program. The UBC Records Management program is currently examining opportunities ^{to increase} for records management in sustainability through the SEEDS project. UBC is possibly better positioned to address sustainability, in part because of a longer tradition of commitment to sustainability, but also partly because of the relative newness of its records management program. Since sustainability often becomes a priority in a department because of either influence from the wider organization or its potential as a marketing strategy, and since the URC is already a thriving business somewhat detached from the University as a whole, the URC has little incentive to engage in sustainable practices or to encourage sustainability in their clients. On the other hand, both ~~the~~ UBC program’s position in the University and its need for greater authority and prominence, ^{allows it} ~~situates it so as~~ to take full

advantage of the opportunities that records management offers to limit both paper and technological waste and divert waste in sustainable ways.

Reflection

We found in the process of comparing the UBC and UPenn records management programs that we were struck by the differences between the two programs and the ways that their practice deviated from the standards and guidelines that we associated with records management. Ideal best practices, by their nature, do not address the limitations that records management programs face nor the specific needs of their users which may direct them in different ways than are typically recommended by standards and guidelines. For example, both the ISO and GARP, for instance, claim that for a records management program to be effective it has to have support from senior authorities within the organization. For example, GARP, or the Generally Accepted Recordkeeping Principles states, “An organization shall assign a senior executive who will oversee a recordkeeping program,” so that they can be responsible for the program and have access to other senior executives so that he or she can maintain the program’s authority and consistency (ARMA). The differences in the size, budgets, and overall authority of the two programs was very instructive since it gave us a much better idea of the administrative differences and contexts of records management programs even within similar organizations. The reality of the UBC program’s situation in respect to these factors remind us of the point that Jenny Borland made in her presentation that records management programs often have to start small and build their authority and influence within an organization, and more importantly, that they should not overstretch themselves by, for instance, creating policies that they cannot comply with later. Similarly, the differences in the way that the programs are run, one as a small

department within a larger organization and one as a substantial business, illustrated for us that different philosophies or approaches are viable, and furthermore, that a records management company can be a very lucrative business.

This project has shown us the difference in priorities between records management programs and the university units that are their clients and, more importantly, has shown us actual examples of how difficult it can be to convince clients of the importance of key recordkeeping principles or to address their concerns without jeopardizing professional standards. An awareness of this situation can itself be an opportunity, as well as an example of the difference between professional best practices and less ideal situations. Richard Cox, among others, details the importance of connecting records management to the existing priorities of an institution: “The relationship between records and information and normal business functions is why so many records professionals try to sidle their programs up against key activities” (56). As we alluded earlier, sustainability can serve the purpose of matching records management to administrative priorities. Addressing sustainability in records management programs, Chris Wacker concludes that records management can increase its role in an organization when sustainability becomes a priority of the organization. Jennifer Borland made a similar point when she described the BC Hydro’s records management program’s strategy to link recordkeeping with safety in order to receive more funding. After looking into sustainability’s role within the two programs ~~we~~ ^{we} and researched ^{we} and relevant literature, we think that sustainability is a very useful way of appealing to clients, publicizing the program, integrating with the organization, and essentially, making sure that there is a future for records management in the organization.

Records Management in UBC and UPenn

Appendix A *SEEDS Project Survey* Interview with Mark Frazier Lloyd, Nov. 2010

Question	Answer
Is your institution state-supported or private?	-Private University: but they are a non-profit commonwealth receives annual appropriation from the state -"State-related"
What is the size of your institution? (Number of students)	-ca. 24, 600 Part-Time and Full-Time, Undergraduates and Graduates
Does your institution have an archivist?	-Yes, a few
To whom does he/she report?	-J. M. Duffin, Office Manager and Technical Services Archivist -Reports to Mark Frazier Lloyd, Director, University Archives and Records Center -Who, in turn, reports to the President
How many employees constitute the Archives staff? How many professionals? How many clerical?	-"8 Staff, 7 Professional, 1 Clerical" -No Volunteers
Is there a policy related to the Archives? Origin of the policy?	-Protocols for the University of Pennsylvania Archives and Records Center
Does your institution have a records manager?	-Yes
To whom does he/she report?	- Patricia M. Vickers, University Records Manager -Reports to Mark Frazier Lloyd, Director, University Archives and Records Center -Who, in turn, reports to the President
How many employees constitute the Records Management staff? How many professionals? How many clerical?	-"5 Professionals, 9 Support Staff" - No Volunteers
Is there a University policy related to Records Management? Origin of the policy?	-Protocols for the University of Pennsylvania Archives and Records Center -Arose out of conflict. The conflict was rooted in the question of access to the University's administrative records: when and under what constraints could the faculty view the records of the central administration?
Does your institution have a formal records management policy?	-Protocols for the University of Pennsylvania Archives and Records Center
Is there a campus wide mandate for records management? Is there a campus wide mandate for e-records management?	-Protocols, or mandate for records management -No Policy for E-Records Management,
Is there a campus wide oversight/advisory committee? If so, who is involved?	-In the Protocols: 10 Members: 1 representative from the office of the president, Secretary of the University, Provost, General Counsel, 3 Faculty members appointed by the Senate executive committee, 3 faculty members appointed by the President, Committee Chair
Is there a dedicated budget for Records Management?	-No.
Who controls the budget for Records Management?	-Mr. Lloyed controls the budget for the Archives and Records Center
How much is the budget?	-Archives: Academic Support Service, Funded by the Academic Administration – 2 ½ Million

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	-Records Management – Has no dedicated budget – has to be raised in the course of business
Does your institution provide records storage facilities for campus units?	-No, for campus units. Only for the Records Center.
Does your institution have other centralized services to help departments manage records?	-No, the University of Pennsylvania has no records management services on campus, except those provided by the University Archives and Records Center
Who are the major stakeholders in the records management program?	-“University Health System and University Central Administration”
Who was included in developing the records management policies and procedures?	- Representatives of the Faculty Administration and University Central Administration
What is your relationship with IT?	-Good - IT on RM staff
What is your relationship with legal counsel?	-Good - Legal likes the centralized setup. Referred to as “one stop shopping”
If your institution does not have a formal e-records management program, is there one in the planning stages?	-No
Do you conduct training for staff/units on campus?	-Yes -Records Center staff go out into the field to provide training. The training is generally restricted to compliance with the University's records retention schedules.
Do you publicize your program? (if so, how and to whom?) What do you consider to be the most important issues in records management?	-University publicizes to the staff, not students and faculty
What are the most important issues to departments/units?	-Ease of Access and Security – want to be able to always access their records, and they never want them to misplace or wrongly distribute so they end up on an Iron Mountain truck to the wrong place
What do you consider to be the most important issues in records management?	-Transition to Records management by digital images (Intake) -Paid by offices on campus to scan paper and electronic materials -Make scanned images online -1999= Software, 2001=live, Product by Oracle=IPM
For which services do you receive the most requests from departments/units?	-Servicing of paper records -Servicing of digital image records
Is there a Sustainability Office/Department at your institution?	-Yes
Is there a Sustainability Policy at your institution? Origin of the policy?	-No
Does the Sustainability Office/Department produce statistics related to the management of information on campus?	-Does not produce.
Is the Records Management Office of Archives currently involved in any efforts to reduce environmental impact of information management? Please describe the efforts.	-No. “We like paper and digital records”

Appendix B

University Records Center Rate Schedule for Fiscal Year 2011

July 1, 2010 - June 30, 2011

I. SUPPLIES

Standard one cubic foot box (10" x 12" x 15")
(price includes delivery) \$2.40 per box

II. STORAGE FEE per cubic foot per year: \$5.42

III. SERVICE FEES

A. DEPOSIT SERVICES

1. Pick-up boxes for deposit: \$3.53 per box
2. Process Incoming Records: \$2.96 per box
3. Interfile Records: \$2.84 per file

B. ACCESS SERVICES

1. Courier delivery of files:
 Each file \$4.86
2. Unscheduled or emergency delivery of files/boxes: \$22.81 per unit
3. Courier pick-up of files:
 Each file \$4.86
4. Prepare requested files for pick-up by department: \$1.82 per file
5. Return of files by department courier: \$1.82 per file
6. Courier delivery of boxes: \$4.86 per box
7. Courier pick-up of boxes: \$4.86 per box
8. Prepare requested boxes for pick-up by department: \$4.03 per box
9. Return of boxes by department courier \$4.03 per box
10. Retrieve, photocopy and refile: \$4.86 per file
11. Lookup and telephone information: \$3.25 per file
12. Searched, but not found:
(due to previous removal by customer) \$4.86 per file

C. DISPOSITION SERVICES

1. Office of origin Disposition
 Authorization Requests:
 for each notification NO CHARGE
2. Destruction of boxes:
 a. Certified destruction and permanent removal
 (for confidential records) \$6.66 per box
 b. Confidential destruction of computer tapes,
 film and fiche \$.52 per pound
3. Secured Destruction Replacement Bin
 a. Exchange of Bin \$11.00 per bin
4. Permanent removal of boxes without destruction: \$4.86 per box

D. SPECIAL SERVICES

1. Packing boxes for storage: \$28.99 per hour
2. Preparing inventories/box lists: \$28.99 per hour
3. Data entry of departmental records:
 (by file folder heading) \$28.99 per hour
4. Photocopies: \$0.44 per copy
5. FAX transmissions: \$1.48 per page

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