Part I

Programme Title	:	Bachelor of Arts (Honours) in Heritage Education and Arts Management
Programme QF Level	:	5
Course Title	:	Archival Studies: Principles and Practices
Course Code	:	CUS4021
Department	:	Department of Literature and Cultural Studies (LCS)
Credit Points	:	3
Contact Hours	:	39
Pre-requisite(s)	:	Nil
Medium of Instruction	:	EMI
Level	:	4

Part II

The University's Graduate Attributes and seven Generic Intended Learning Outcomes (GILOs) represent the attributes of ideal EdUHK graduates and their expected qualities respectively. Learning outcomes work coherently at the University (GILOs), programme (Programme Intended Learning Outcomes) and course (Course Intended Learning Outcomes) levels to achieve the goal of nurturing students with important graduate attributes.

In gist, the Graduate Attributes for Undergraduate, Taught Postgraduate and Research Postgraduate students consist of the following three domains (i.e. in short "PEER & I"):
● **P**rofessional **E**xcellence;
● **E**thical **R**esponsibility; **&**
● **I**nnovation.

The descriptors under these three domains are different for the three groups of students in order to reflect the respective level of Graduate Attributes.

The seven GILOs are:
1. Problem Solving Skills
2. Critical Thinking Skills
3. Creative Thinking Skills
4a. Oral Communication Skills
4b. Written Communication Skills
5. Social Interaction Skills
6. Ethical Decision Making
7. Global Perspectives

1. **Course Synopsis**

This course provides students with a broad and enriched learning experience covering a full spectrum of fundamental principles and methodologies in managing and preserving records and archives. ("Records" are documents of any format which are created and received by an individual or organization during its regular business transaction and are filed and kept as evidence of that particular transaction. "Archives" are those small portion of records which have been appraised to have historical value and preserved permanently.) These principles and methodologies are highly valuable assets to any organization (government included) and are indispensable resources required to support the operation and delivery of services, to protect individual, corporate and government rights. The three cultural heritage programmes under UNESCO's auspices will be discussed to illustrate some of the important principles and methodologies. This course also provides students with the impartial information for research and study that helps in understanding the past and fosters innovation, competition and sustainable growth in the future.

2. **Course Intended Learning Outcomes (CILOs)**

Upon completion of this course, students will be able to:

CILO$_1$ understand the core functions of archivists and their social, political and cultural roles;

CILO$_2$ appreciate and explain the fundamental concepts of records and archives and apply the prevailing theories and methodologies that help appraise (select), organize, describe and preserve archival records as an authentic and impartial source of documentary evidence over time;

CILO$_3$ differentiate the three cultural heritage programmes under UNESCO's auspices and be able to appraise their various social, cultural and educational roles; and

CILO$_4$ understand and apply the major records-related ordinances in the daily operation of archives.

3. **Content, CILOs and Teaching & Learning Activities**

Course Content	CILOs	Suggested Teaching & Learning Activities
Basic concepts: Archivists, documents, records and archives • What are records and archives? • Business process analysed • Attributes of records • Records as "Evidence" (Authenticity, Impartiality, Integrity and Usability) • Types of archival institutions • Core functions of an archivist	*CILO$_{1,2}$*	• Lectures • Group discussions • Site visits
Archives management theories and methodology: Appraisal, arrangement and description	*CILO$_{1,2}$*	• Lectures • Group discussions

• Records series concept • Appraisal theories and methodologies • Functional analysis and macro-appraisal • Principles of "Provenance" and "Original Order" • Levels of archival arrangement • "Fonds-based" and "series-based" description systems • Introduction of prevailing archives descriptive standards		• Site visits
Electronic records • Technology development and the emergency of e-Government and e-Business • Components of a complete record: Content, context and structure • What are the problems, solutions and consequences of managing and preserving electronic records?	*CILO₁*	• Lectures • Group discussions
UNESCO's auspices and its cultural heritage programmes • What are the three heritage programmes under the auspice of UNESCO? • What is the Memory of the World (MoW) Programme? • Nomination process to the MoW Programme • Challenges confronting the MoW Programme in recent years • Significance of the MoW Programmes	*CILO₃*	• Lectures • Group discussions • Group projects
The power of archives • The social, cultural and political roles of archives • Relationship between archives and proper governance • What are human right archives? • Archives in the pursuit of social justice	*CILO₁,₃*	• Lectures • Group discussions • Group projects
Legal issues in archives and records management • Archivists' roles in reference services • Sources and categories of law • Overview of records related legislation • Impact of records laws on the records and archives profession • Compliance issues	*CILO₄*	• Lectures • Group discussions

4. **Assessment**

Assessment Tasks	Weighting (%)	CILOs
(a) Individual essay: Students are required to show a comprehensive understanding of the nature and characteristics of records and archives, the social, political and cultural roles of an archivist and of an archival institution, as well as the scope of the core functions archivists undertake to defend physically and morally the records and archives in their custody (around 1,800 words).	50%	$CILO_{1,2}$
(b) Group project (1): Students are required to present a group project to demonstrate their understanding of the "power" and the roles of "Human Right" archives, how they are used in furthering the cause of transitional justice. Students are also required to show their understanding of UNESCO's Memory of the World Program and the criteria for inscription on the World Register.	25%	$CILO_3$
(c) Group project (2): Students are required to present a group project to demonstrate their knowledge and skills in the core duties of an archivist which include arranging (classifying) and describing (cataloging) a group of archives by employing international archival standards, and in managing daily reference activities of an Archives.	25%	$CILO_{2,4}$

5. Use of Generative AI in Course Assessments

Please select one option only that applies to this course:

☐ *Not Permitted*: In this course, the use of generative AI tools is not allowed for any assessment tasks.

☑ *Permitted*: In this course, generative AI tools may be used in some or all assessment tasks. Instructors will provide specific instructions, including any restrictions or additional requirements (e.g., proper acknowledgment, reflective reports), during the first lesson and in relevant assessment briefs.

6. Required Text(s)

Nil

7. Recommended Readings

(a) Basic concepts: Archivists, documents, records and archives

Bettington, J., Eberhard, K., Loo, R., & Smith, C. (Eds.) (2008). *Keeping archives* (3rd ed.). Australian Society of Archivists Inc.

Brown, C. (2013). *Archives and records keeping: Theory into practice*. London: Facet Publishing.

Cox, R. (2001). *Managing records as evidence and information*. Westport: Quorum Books.

Jimerson, R.C., (Ed.) (2000) *American archival studies: Readings in theory and practice*. Chicago: Society of American Archivists.

McGill, J.M. (2018). *Introduction to modern information retrieval*. New York: McGraw-Hill.

Millar, L.A. (2017). *Archives: Principles and practices* (2nd ed.). London: Facet Publishing.

Williams, C. (2006). *Managing archives: Foundations, principles and practices*. Chandos Publishing.

朱福強 (2019)：《檔案管理全攻略：創立及管理一個小型歷史檔案館 (English title: How to set up and manage a small archives)》，雲起文化出版公司。

(b) Archives management theories and methodology: Appraisal, arrangement and description

Australian Society of Archivists Committee on Descriptive Standards (2013). *Describing archives in context: A guide to Australasian practice*. Australian Society of Archivists Inc. Available at: https://www.archivists.org.au/documents/item/358

Boles, F. (2005). *Selecting & appraising: Archives & manuscripts*. Chicago: Society of American Archivists.

Brenndorfer, T. (2016). *RDA essentials*. Chicago: American Library Association.

Carmichael, D.W. (2012). *Organizing archival records: A practical method of arrangement and description for small archives*. AltaMira Press.

Cox, R.J. (2004). *No innocent deposits: Forming archives by rethinking appraisal*. Lanham, MD: Scarecrow Press.

Craig, B. (2004). Archival appraisal: Theory and practice. Berlin/Boston: De Gruyter, Inc.

Procter, M., & Cook, M. (2000). *Manual of archival description* (3rd ed.). Aldershot, England: Gower.

Roe, K. (2005). *Arranging and describing archives and manuscripts*. Chicago: Society of American Archivists.

(c) Electronic records

Brown, A. (2013). *Practical digital preservation: A how-to guide for organizations of any size*. Chicago: Neal-Schuman.

Chu, S.F.K. (2010). *Records management publication number 3: Subject filing*. Hong Kong: Government Recorsd Service. Available at: https://www.grs.gov.hk/pdf/P3(2018-03)(Eng_only).pdf

Duranti, L., Eastwood, T., & MacNeil, H. (2012). *Preservation of the integrity of electronic records*. Boston: Kluwer Academic Publishers.

(d) The power of archives

Charlesworth, H. (2010). Human rights and the UNESCO Memory of the World programme. In M. Langfield, W. Logan & M.N. Craith (Eds.), *Cultural diversity, heritage and human rights: Intersections in theory and practice* (pp. 21-30). New York: Routledge.

Edmondson, R., Jordan, L., & Prodan, A.C. (Eds.) (2020). *The UNESCO Memory of the World programme: Key aspects and recent developments*. Springer International Publishing.

Labadi, S. (2013). *UNESCO, cultural heritage, and outstanding universal value: Value-based analyses of the world heritage and intangible cultural heritage conventions*. AltaMira Press.

UNESCO Memory of The World: https://en.unesco.org/memoryoftheworld

UNESCO World Heritage Centre: https://whc.unesco.org/

(e) The power of archives

Cox, R.J., Wallace, D.A., & Wallace, D. (2004). *Archives and the public goods: Accountability and records in modern society*. Westport: Quorum Books.

Jimerson, R.C. (2009). *Archives power: Memory, accountability and social justice*. Society of American Archivists.

Procter, M. (Ed.) (2006). *Political pressure and the archival records*. Society of American Archivists.

(f) Legal issues in archives and records management

Behrnd-Klodt, M. (2008). *Navigating legal issues in archives*. Society of American Archivists.

Choy, S. (2006). *Principles for archives and records legislation*. International Council on Archives Committee on Archival Legal Matters. Available at: http://archivesactiongroup.org/main/wp-content/uploads/2012/05/Sarahs-article-in-ICA-Study.pdf

Loh, C., van Rafelghem, M.,& Graham, J.C. (2007) *Managing public records for good governance and preservation of collective memory: The case for archival legislation*. Hong Kong: Civic Exchange.

8. Related Web Resources

(a) ListServ List and Mailing List

Arcan-l mailing list
http://www.mailman.srv.ualberta.ca/mailman/listinfo/arcan-l
Archives & Archivists List (ARCHIVES)
http://listserv.muohio.edu/archives/archives.html
Aus-archivists mailing list
http://lists.archivists.org.au/cgi-bin/mailman/listinfo/aus-archivists
Management & Preservation of Electronic Records List (ERECS-L)
http://listserv.albany.edu:8080/archives/erecs-l.html
Records Management Program List (RECMGMT-L)
http://lists.ufl.edu/archives/recmgmt-l.html

(b) Resource List/portal

Council on Library and Information Resources (CLIR) - Publications
http://www.clir.org/pubs/pubs.html
New York State Archives – Publication
http://www.archives.nysed.gov/a/nysaservices/ns_pubs.shtml
Records & Information Management Resource List
http://www.infomgmt.homestead.com/
Research Libraries Group (RLG) - Publications
http://www.rlg.org/en/page.php?Page_ID=5
Stanford University. *Conservation On-Line (CoOL)*
http://palimpsest.stanford.edu/
UNESCO archives Portal
http://www.unesco.org/webworld/portal_archives/
UNESCO RAMP (Records and Archives Management Programme) Studies
http://portal.unesco.org/ci/en/ev.php-
URL_ID=21989&URL_DO=DO_TOPIC&URL_SECTION=201.html

(c) Certification authorities

Academy of Certified Archivists (ACA)
http://www.certifiedarchivists.org
Electronic Records Management (ERM) Certificate Program - AIIM
http://www.aiim.org
Records Managers: Institute of Certified Records Managers (ICRM)
http://www.icrm.org

(d) Professional Societies and Associations

International
Association for Information and Image Management (AIIM)
http://www.aiim.org
Association of Records Managers and Administrators (ARMA)
http://www.arma.org
International Council on Archives (ICA)
http://www.ica.org/
International Records Management Trust (IRMT)
http://www.irmt.org/
Regional
East Asian Regional Branch of the International Council on Archives (EASTICA):
http://www.eastica.org/
National (or territorial)
Association of Canadian Archivists (ACA)
http://archivists.ca/home/default.aspx
Australian Society of Archivists
http://www.archivists.org.au/
Chinese Archives Society
http://www.saac.gov.cn/archive_bureau/84.htm
Hong Kong Archives Society
http://www.archives.org.hk/

Society of American Archivists (SAA)
http://www.archivists.org/

(e) Archival Institutions

National Archives and Records Administration, US (NARA)
http://www.archives.gov/index.html
National Archives of UK
http://www.nationalarchives.gov.uk/default.htm
Library and Archives Canada
http://www.collectionscanada.ca/index-e.html
National Archives of Australia (NAA)
http://www.naa.gov.au/
State Archives Administration of China (SAAC)
http://www.saac.gov.cn/
National Archives Administration, Republic of China
http://www.archives.gov.tw/english/index.aspx
Macao Historical Archives
http://www.icm.gov.mo/ah/C_ah.asp
Public Records Office of Hong Kong
http://www.grs.gov.hk/ws/content/pro/index.htm

9. Related Journals

Boundary Value Problems
https://boundaryvalueproblems.springeropen.com/
Ethics, Policy & Environment
https://www.tandfonline.com/loi/cepe21
Professions & Professionalism
https://journals.oslomet.no/index.php/pp
The Journal of Ethics
https://www.springer.com/journal/10892
The Journal of Value Inquiry
https://www.springer.com/journal/10790

10. Academic Honesty

The University upholds the principles of honesty in all areas of academic work. We expect our students to carry out all academic activities honestly and in good faith. Please refer to the *Policy on Academic Honesty, Responsibility and Integrity* (https://www.eduhk.hk/re/uploads/docs/00000000016336798924548BbN5). Students should familiarize themselves with the Policy.

11. Others

Nil

22 August 2025