University of Maryland

College of Information Studies

INST647: Management of Electronic Records & Information

Dr. Adam Kriesberg
0216C Hornbake North
Email: akriesbe@umd.edu

Class Time: Tuesdays 6:00-8:45pm
Classroom: Hornbake 0115
Office Hours: I am available before & after class, or by appointment (in-person or online)

Catalog Description: Focuses on the life cycle of records and the impact of technology programs for managing electronic records. Explores the roles of records managers in the management of electronic records.

Course Overview: As the information-centric 21st century continues, electronic records continue to gain importance across society. Records management professionals are increasingly being called upon to handle more than just a variant of textual or other paper materials; the very nature of electronic records means that they must also be appreciated intrinsically as the complex technical objects that they are. Studying electronic records further allows for consideration of other issues central to the work of many information professionals including intellectual property, privacy, security, and accessibility.

In considering electronic records, the "how" of their technical structure must be married with the all-important "what" of their meaning as information. Records management students and professionals are the key to providing this information bridge, and must be conversant in both aspects of electronic records. Those who acquire this skill will be in great demand as information professionals.

While not a technical course in electronic records per se, some of the more technical elements of electronic records will be considered and related to the guiding principles of archives, digital preservation, and records management. It will enable students to understand and be conversant in the ways in which electronic records function both as technical and knowledge-enabling entities.

Learning Outcomes: Upon completion of this course students should be able to:

- Demonstrate comprehension of key issues for electronic records management in multiple organizational settings.
- Evaluate electronic systems for their records management capabilities.
- Identify standards and best practices for creation, retention, authenticity, security, and accessibility of electronic records.
- Understand electronic records-based accountability issues in different sectors and institutional settings (e.g. government, corporate, healthcare, human rights).

- Understand the important laws and policies related to electronic records in the public and private sectors.
- Improve communication skills through writing and presentation of course projects.

Requirements:

- This is a small, upper-level graduate course in which the conversation and interaction among students is critical to learning. Attendance in all course sessions is expected. If you have a conflict that will result in missing more than one class, please notify me and consider a plan to complete the work for class meetings you will miss.
- Complete required readings at the level of thorough preparation to discuss and critique readings for each week.
- Complete all assignments on time.

Grading and Evaluation:

Course grades will be calculated based on the following criteria

- Assignment #1: SharePoint Evaluation……20%
- Assignment #2: Topical Presentation and Paper……..30%
- Assignment #3: ERM in the News……...20%
- Completion of Lab Activities…….……..10%
- Attendance and participation…….....20%

Classroom Etiquette:

While students are encouraged to bring notebook computers to class and to use them actively as learning tools, engagement with course discussions and activities is expected during class sessions. Students should:

- Use laptops for taking notes, conducting research required for activities, and other specific classroom tasks as assigned by the instructor. During class, students should not check e-mail, chat, IM, play games, or perform other off-task activities.
- Engage in-class activity as actively as they would in any other class. The computer should not become a barrier to one-on-one interaction, but instead should help facilitate the exchange of ideas and engagement in classroom contact.
- Demonstrate sensitivity to fellow students an d the instructor. Students should not display screen images, including wallpapers and screen savers, which might be distracting or offensive to other members of the class.

Disability Assistance:

From the University's Disability and Accessibility Policy (http://ter.ps/c1o)

The University of Maryland is committed to creating and maintaining a welcoming and inclusive educational, working, and living environment for people of all abilities. The University of

Maryland is committed to the principle that no qualified individual with a disability shall, on the basis of disability, be excluded from participation in or be denied the benefits of the services, programs, or activities of the University, or be subjected to discrimination. The University of Maryland provides reasonable accommodations to qualified individuals. Reasonable accommodations shall be made in a timely manner and on an individualized and flexible basis. Discrimination against individuals on the grounds of disability is prohibited. The University also strictly prohibits retaliation against persons arising in connection with the assertion of rights under this Policy.

If you think you need an accommodation for a disability, please let me know at your earliest convenience. Some aspects of this course, the assignments, the in-class activities, and the way we teach may be modified to facilitate your participation and progress. As soon as you make me aware of your needs, we can work with the university's Disability Support Service to help us determine appropriate accommodations. I will treat all information you provide me as confidential.

Academic Integrity: Unless otherwise specified in an assignment, all submitted work must be your own, original work. Any excerpts from the work of others must be clearly identified as a quotation, and a proper citation provided. Any violation of the university's policy on Academic Integrity (http://ter.ps/c1p) will result in penalties, which might range from failing an assignment, to failing a course, to being expelled from the program, at the discretion of the instructor and the iSchool administration.

Weekly Topics: The course is organized around a series of topics designed to expose students to different perspectives on electronic records management. After an introduction to key concepts, we will move on to considering major elements of technology in the electronic records space before transitioning to more thematic discussions of the role of electronic records issues in society, and the importance of records management for a range of supported activities.

- Week 1 (August 29) – Introductions, Syllabus Review, General Discussion
- Week 2 (September 5) – Definitions and Principles for Electronic Records Management:
- Week 3 (September 12) – Electronic Records Management Standards
- Week 4 (September 19) – Metadata and Electronic Records Management
- Week 5 (September 26) – E-records Management Systems Overview
    a. Lab Session: DROID
- Week 6 (October 3) – E-records Policy Overview
- Week 7 (October 10) - E-records Policy Overview Continued
- Week 8 (October 17) – Web-records and Social Media
- Week 9 (October 24) – Email, SharePoint, and Communication-based records
- Week 10 (October 31) –Accountability and E-Records in the Public Sector
- Week 11 (November 7) – Accountability and E-Records in the Private Sector
- Week 12 (November 14) – Data Management as E-records Management
- Week 13 (November 21) – In-Class Presentations of Assignment #2
- Week 14 (November 28) – Search, eDiscovery, and Legal Issues
- Week 15 (December 5) – Electronic Records Management & Digital Preservation

a. Lab Session: Bagger

Course Readings:

Please read the required readings before the date for which they are listed. Getting the most out of readings is an important skill for understanding and responding to policy issues. Whether reading theoretical perspectives, persuasive arguments, or implementation studies, "close reading" is a valuable technique to learn for information policy and graduate school. Terri Senft has put together a wonderful primer on close reading, available here: http://tsenft.livejournal.com/413651.html

Lab Sessions:

This class will have at least two lab sessions throughout the semester. Depending on suitability, I may add additional lab sessions to the course schedule. For these sessions, I will clarify any expectations about preparations that will be necessary before class meets. Typically, these will include installation of software and review of documentation. In class, I will introduce the software and lead the class through an in-person activity.

Completion of lab activities is vital to this course. If you will not be able to attend class on the days when we conduct lab activities, please contact me to arrange for alternate completion methods.

You should adopt a generally flexible and open outlook toward digital tools. At some points in the course, you may encounter new, unfamiliar tools. Look at this as an opportunity for discovery and development. All tools will be available either as free, open-source options or to use as a login service; you will not be asked to purchase software or hardware. If something in your technosphere isn't working as it should, don't hesitate to search (Google, Bing, etc), look on tech support bulletin boards or forums, ask your instructor, or your colleagues.

Assignments:

This course has three main assignments. I believe that writing is an extremely important skill to develop in graduate school, so each of the assignments contains some writing element. Whether to write a report proposing a project at your place of work, apply for a grant, report on research results, or explain your work to your supervisor, gaining skill and confidence in writing can benefit everyone.

1. Assignment #1: Software Evaluation of Microsoft SharePoint
    a. **Due September 29, 2017**
2. Assignment #2: Electronic Records Management Topical Paper and Presentation
    a. **Prospectus/abstract due November 1, 2017**
    b. **Final Paper Due and In-Class Presentations November 21, 2017**
3. Assignment #3: Electronic Records Management in the News
    a. **Due December 11, 2017**

Schedule of Classes and Readings

Week 1 (August 29) – Introductions, Syllabus Review, General Discussion

Week 2 (September 5) – Basics of Electronic Records Management: Definitions and Principles

Readings:

Gregory, Keith. (2005) "Implementing an electronic records management system: A public sector case study", Records Management Journal, Vol. 15 Issue: 2, pp.80-85, https://doi.org/10.1108/09565690510614229

Smallwood, Ch. 1 "E-Records Definitions, Business Drivers, and Benefits"

[WATCH] New York State Archives (2017) "Foundations of Electronic Records Management" retrieved from https://www.youtube.com/watch?v=rYc_4-4wDSM

Week 3 (September 12) – Electronic Records Management Standards

Readings:

Findlay, C. (2017). Updated for the digital age ISO 15489. *Information Management, 51*(3), 26-30. Retrieved from https://search.proquest.com/docview/1923659120?accountid=14696

Seymour, J. (2017). The Modern Records Management Program: An Overview of Electronic Records Management Standards: The modern records management program: An overview of electronic records management standards. *Bulletin of the Association for Information Science and Technology, 43*(2), 35–39. https://doi.org/10.1002/bul2.2017.1720430212

Shadrack Katuu, (2016) "Managing digital records in a global environment: A review of the landscape of international standards and good practice guidelines", The Electronic Library, Vol. 34 Issue: 5, pp.869-894, https://doi.org/10.1108/EL-04-2015-0064

Week 4 (September 19) – Metadata and Electronic Records Management

Readings:

Mathieu, C. (2017). Practical Application of the Dublin Core Standard for Enterprise Metadata Management: Practical application of the Dublin Core standard for enterprise metadata management. *Bulletin of the Association for Information Science and Technology, 43*(2), 29–34. https://doi.org/10.1002/bul2.2017.1720430211

Smallwood, Ch. 6 "Taxonomy Development for E-Records"

Smallwood, Ch. 16 "Metadata Governance, Standards, and Strategies"

Week 5 (September 26) – E-records Management Systems Overview

Lab Session: DROID (Digital Record and Object Identification)

In preparation for this in-class lab session, please review the documentation for DROID and install the software. If you are having trouble doing this, we will also have time in class to get people set up with the program.

- Download: http://digital-preservation.github.io/droid/
- More Information: https://www.nationalarchives.gov.uk/information-management/manage-information/preserving-digital-records/droid/
- User Guide: http://www.nationalarchives.gov.uk/documents/information-management/droid-user-guide.pdf

Readings:

Smallwood, Ch. 4 "Managing E-Documents and Records"

Smallwood, Ch. 5 "Inventorying E-Records"

http://www.archives.nysed.gov/common/archives/files/mr_pub63.pdf

Week 6 (October 3) – E-records Policy and Legal Overview

Review:

https://www.archives.gov/records-mgmt/laws

36 CFR Part 1236 - ELECTRONIC RECORDS MANAGEMENT

44 U.S. Code Chapter 29 - RECORDS MANAGEMENT BY THE ARCHIVIST OF THE UNITED STATES

44 U.S. Code Chapter 31 - RECORDS MANAGEMENT BY FEDERAL AGENCIES

Department of Defense Standard 5015.02:
http://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodi/501502p.pdf

Week 7 (October 10) - E-records Policy and Legal Overview Continued

Maryland State Archives. (2017) Electronic Records Guidance. Available at:
http://msa.maryland.gov/msa/intromsa/html/record_mgmt/electronic_guidance.html

Massachusetts Society of CPAs, Inc. (2004). The Record Retention Guide. Retrieved from https://www.cpa.net/resources/retengde.pdf.

State of Florida. (2010). Electronic Records and Records Management Practices. Retrieved from:
http://dos.myflorida.com/media/31109/electronicrecordsmanagementpractices.pdf

University of Maryland Records Schedule. Retrieved from http://www.dbs.umd.edu/records/schedule/

Week 8 (October 17) – Web-records and Social Media

Readings:

Smallwood, Ch. 13 "Managing Social Media Business Records"

Managing web records: http://www.archives.gov/records-mgmt/policy/managing-web-records-index.html

Week 9 (October 24) – Email, SharePoint, and Communication-based records

Readings:

Smallwood, Ch. 11 "Managing E-Mail and IM Records"

Smallwood, Ch 12 "Managing E-Records in the Cloud"

NARA, Bulletin 2015-04, "Metadata Guidance for the Transfer of Permanent Electronic Records" (2015), at http://www.archives.gov/records-mgmt/bulletins/2015/2015-04.html

Week 10 (October 31) – Accountability and E-Records in the Public Sector

Readings:

Rosén, F. (2008). Off the record: outsourcing security and state building to private firms and the question of record keeping, archives, and collective memory. *Archival Science, 8*(1), 1-14.

Shepherd, Elizabeth. (2006). Why Are Records in the Public Sector Organizational Assets? *Records Management Journal* 16(1): 6–12.

Somers, M. (2017). ISOO chief: Reforming American infrastructure includes the federal classification system. Federal News Radio. Retrieved from https://federalnewsradio.com/management/2017/08/isoo-chief-reforming-american-infrastructure-includes-the-federal-classification-system/

Week 11 (November 7) - Accountability and E-Records in the Private Sector

Readings:

Chute, C. G., Beck, S. A., Fisk, T. B., & Mohr, D. N. (2010). The Enterprise Data Trust at Mayo Clinic: a semantically integrated warehouse of biomedical data. *Journal of the American Medical Informatics Association,* 17(2), 131–135. https://doi.org/10.1136/jamia.2009.002691

Iverson, J., & Burkart, P. (2007). Managing electronic documents and work flows: Enterprise content management at work in nonprofit organizations. *Nonprofit Management and Leadership*, 17(4), 403–419. https://doi.org/10.1002/nml.160

Review:

Skim this resource: PARADIGM: Workbook on digital private papers (http://www.paradigm.ac.uk/workbook/index.html).

Week 12 (November 14) – Data Management as E-records Management

Readings:

Rebecca Grant, (2017) "Recordkeeping and research data management: a review of perspectives", *Records Management Journal*, Vol. 27 Issue: 2, pp.159-174, https://doi.org/10.1108/RMJ-10-2016-0036

Smallwood, Ch. 18 "Storage and Hardware Considerations"

Wilkinson, M. D., Dumontier, M., Aalbersberg, Ij. J., Appleton, G., Axton, M., Baak, A., … Mons, B. (2016). The FAIR Guiding Principles for scientific data management and stewardship. *Scientific Data,* 3, 160018. https://doi.org/10.1038/sdata.2016.18

Week 13 (November 21) – In-Class Presentations of Assignment #3

Week 14 (November 28) – Search, eDiscovery, and Legal Issues

Readings:

Lemieux, V. L., & Baron, J. R. (2011). Overcoming the digital tsunami in e-discovery: is visual analysis the answer?. *Canadian Journal of Law and Technology*, *9*(1 & 2).

Snyder, H. K. (2016). Five steps in-house counsel should take to mitigate information risk. *Information Management, 50*(4), 24-27,47. Retrieved from https://search.proquest.com/docview/1805460166?accountid=14696

Ward, B. T., Purwin, C., Sipior, J. C., & Volonino, L. (2009). Recognizing the Impact of E-Discovery Amendments on Electronic Records Management. *Information Systems Management*, *26*(4), 350–356. https://doi.org/10.1080/10580530903245721

Week 15 (December 5) – Electronic Records Management & Digital Preservation

Lab Session: Bagger

In preparation for this in-class lab session, please review the documentation for Bagger and install the software. If you are having trouble doing this, we will also have time in class to get people set up with the program.

- Ashenfelder, M. (2016, April 26). Bagger's Enhancements for Digital Accessions [Library of Congress]. Retrieved from http://blogs.loc.gov/thesignal/2016/04/baggers-enhancements-for-digital-accessions/
- Software: https://github.com/LibraryOfCongress/bagger

Readings:

Huvila, I. (2008). Participatory archive: towards decentralised curation, radical user orientation, and broader contextualisation of records management. *Archival Science, 8(1),* 15–36. https://doi.org/10.1007/s10502-008-9071-0

Smallwood, Ch. 17 "Long-Term Digital Preservation"

Yusof, Z. M., & Chell, R. W. (2000). The Records Life Cycle: an inadequate concept for technology-generated records. *Information Development, 16(3),* 135–141. https://doi.org/10.1177/0266666004240413

N.B. This syllabus is a guide for the course and subject to change.