OVERVIEW OF COURSE
This introductory course will provide students with grounding in the role of records managers and archivists in the management of electronic records and give an overview of the principles and techniques associated with the management of electronic records in a contemporary environment. The course will consider electronic records and information management from the perspectives of the records manager and the archivist, focusing on specific topics of interest to them within the broader arena of digital asset management. Topics for this summer’s class include:

• The Records and Information Management (RIM) Ecosystem: Enterprise Architecture, Business Process, and Effective Records Management
• Defining and Creating Electronic Records
• The Role of the Records Manager and/or Archivist in Systems Development
• Requirements for Electronic Recordkeeping and the Certification of Electronic Recordkeeping Systems
• Records Management, Document Management, and Content Management
• Managing Email and Office Automation Products as Records
• Records Issues for Web 2.0
• Managing Records In Databases
• Managing Scanning Projects and Contracting for Services
• Establishing a Program for the Management of Electronic Records
• Appraising Electronic Records
• The Role of Risk Management in Archives and Records

GRADING
Grading will be based on four factors, as follows:

• In-class participation – 10%
• Class presentation of selected readings #1 – 20%
• Class presentation of selected readings #2 – 20%
• Final paper on selected topic – 50%

Instructor expectations of each of these components is described below:

• In-class participation: Students will attend each session and contribute to class discussions of the relevant assigned readings.
• Class presentations: Each student will participate in a team that will present two 45 minute presentations to the class based on questions provided concerning one or more of the assigned readings (supplemented by other readings they may choose). The presentation will conclude with a “question & answer” session (approximately 15 minutes of additional time) led by the
students from a prepared list of questions they have developed. Students will be assigned to teams initially, but may trade places if they can find people to trade with them. Teams will be graded as a team.

- **Final paper**: Students will prepare a 15 page (minimum) paper (1” margins, double-spaced), with references (not included in page count), on an assigned electronic records management [ERM] topic. Papers are expected to include citations to the ERM literature and offer proper attribution (see PLAGIARISM) in a standard bibliographic format of the student’s choosing. Papers are due on the day of the final class session (July 10). Please provide both hard copy and electronic (electronic via email).

**PLAGIARISM**

Any incidence of lack of appropriate citation encountered in final papers will be dealt with in accordance with UMD guidelines, up to and including failure of course.

**OFFICE HOURS**

The instructor will be available outside of class for consultation one half hour before and one half hour after each class session in the assigned classroom. Advanced notice is appreciated.

**READINGS**

Students are responsible for having completed the assigned readings prior to each class. The class has two textbooks and two other assigned documents. Additional materials may be assigned as needed.


Recommended readings are on a separate listing. Some readings are available electronically. Some readings are available on the web. A starter list of valuable web sites is included in the readings list. The textbook has extensive notes and bibliography.

**INSTRUCTOR CONTACT INFORMATION**

- Home: (301) 879-0029  Work: (301) 640-3678  Cell: (240) 753-8134
- Email: MikeMiller47@verizon.net (preferred) or michael.2.miller@lmco.com

Generally speaking, I will check the Verizon account daily at home in the evenings. However, I will not look at it before class on any class day since I go directly from work to class. If there is something you need to contact me about prior to a class, please try to contact me at work.
June 2, Session 1: An Approach to the Management of Electronic Records and Information

- Class Introduction and Overview
  - Course overview including readings, paper, etc.
  - Review syllabus and identify topics that will and will not be covered in the course
- The Records and Information Management (RIM) Ecosystem
  - The RIM Ecosystem and capability model
  - Enterprise Architecture, Business Process, and Effective Records Management
  - Major programmatic issues relating to electronic records
  - How does records management fit into enterprise architecture?
- The Records and Information Management Coalition

- Review business, records management, and archival principles and that will be used as reference points in the course
  - Provenance, description of records, accessioning, preservation and other archival functions.
  - Records management life cycle and records continuum concepts
- Business drivers for electronic records management
  - Major programmatic issues relating to electronic records
  - Major administrative issues relating to electronic records
  - Major cultural issues relating to electronic records

Assigned Readings:
  - None

June 4: Session 2: Overview of the Profession Today: Technology's Impact on the Workplace and the Information Professions.

- History of the management of electronic records by archivists and records managers
  - Theories of the relationship of traditional archival thought to the archival management of electronic records
  - History of the role of archivists and records managers in electronic records
  - Current schools of thought relating to the management of electronic records
  - Information, recordkeeping, exploitation, accountability, and compliance
- The Modern Office: The impact of electronic recordkeeping on office practices, information management, and corporate memory.
  - The impact of electronic records on other information professions and vice-versa
  - Different schools of management - data, document, records, information, and knowledge
  - Different approaches to managing electronic records.
  - Relationships between systems managers, users, computer center operators, and records managers/archivists.

Assigned Readings:
  - ISO Standard, Sections 1-5 and 7
  - Stephens, Chapter 1
  - Workbook for Archivists, Chapters 1 and 2
June 9, Session 3: Defining Electronic Records

- The impact of technology on the theory and practice of records management and archives.
  - What is an electronic record?
  - Unintended electronic records
  - Trustworthy electronic records
  - Records and the business process
  - Structured and unstructured data – electronically stored information
- Is the definition of a record obsolete?

June 11, Session 4: Creating Authentic Electronic Records

- An examination of the first stage of the life cycle - records creation
- What is an information system?
- Concept of a recordkeeping system
- The differences between the two
- How each handles life cycle activities
  - What each is responsible for
  - Functional requirements for recordkeeping systems and how they differ from other systems
- Requirements for Electronic Recordkeeping and the Certification of Electronic Recordkeeping Systems
- Standards
  - DoD Standard 5015.2
  - MoReq
- Problems/opportunities implicit in electronic records creation and the long-term impact on archivists and records managers
- The Role of the Records Manager and/or Archivist in Systems Development
  - Information systems; the role of archivists and records managers in design and management

Assigned Readings:

- ISO Standard: Section 8
- Three sets of recordkeeping requirements:
  - MoReq at [http://www.moreq2.eu/](http://www.moreq2.eu/)
    - Preliminary Planning for Electronic Recordkeeping: Checklist for IT Staff
    - Preliminary Planning for Electronic Recordkeeping: Checklist for RM Staff
    - Typical Records Management [RM] Functions and Typical RM Program Activities
    - Examples of System Functions for Electronic Recordkeeping (ERK) and Electronic Records Management (ERM)
June 16, Session 5: Inventorying and Scheduling Electronic Records
- Inventorying and Scheduling
- Conducting an information/recordkeeping system survey – two views
- Systems approach to the scheduling and appraisal of electronic records
- Functional approach to the scheduling and appraisal of electronic records
- Scheduling of electronic records
  - General and generic schedules
  - System schedules
  - Functional schedules
- The Role of Risk Management in Archives and Records
- Preservation of Electronic Records

Assigned Readings
- General Records Schedule (GRS) -20.  NARA Web site under policy and guidance and records schedules http://www.archives.gov/records_management/ardor/grs_index
- Stephens, Chapters 3 and 5
- Workbook for Archivists, Chapter 4

June 18, Session 6: Appraising Electronic Records
- Relationship of appraisal theory for electronic records to traditional archival appraisal theory;
  - Appraisal theory for electronic records
  - Enterprise values and archival values
  - Authentic electronic records
  - Informational and evidential value
- Appraisal
  - What is worth keeping?
  - For how long?
  - Why?
  - At what cost?
- Complicating factors in the appraisal of electronic records.

June 23, Session 7: Managing Email and Other Unstructured Data as Records
- Email management
- Desktop management
  - Issues involved in managing active electronic records such as version control, back up procedures, what is actually a record, preservation issues, and others
  - Filing for retrieval by transaction and filing for retrieval by subject/topic
  - Access considerations
- Specific records management and archival issues
  - Specific technical issues
Specific issues for management
  • Specific issues and approaches for budgeting
  • Specific issues and approaches for scheduling

Specific issues and approaches for appraisal
  • Specific issues for access
  • Specific issues for preservation

- Appraisal
  o What is worth keeping?
  o For how long?
  o Why?
  o At what cost?

- RMA and EDMS
  o ERM/EDM Integration
  o Examples of ERM/EDM software
  o How to select EDM/ERM software

- Enterprise Content Management (ECM)
  o Case management

- Legal Issues - E-Discovery

Assigned Readings
  • Stephens, Chapter 8 & 12

June 25, Session 8: Records Issues for Web 2.0
  • Web management
  • Collaboration software
  • Social networking
  • Wikis
  • Blogs
  • Alternative ecosystems – 2nd Life
  • Appraisal
    o What is worth keeping?
    o For how long?
    o Why?
    o At what cost?

June 30, Session 9: Managing Structured Information as Records
  • Systems management
  • Data management
  • Data mining
  • Specific records management and archival issues
    • Specific technical issues
    • Specific issues for management
    • Specific issues and approaches for scheduling
    • Specific issues and approaches for appraisal
    • Specific issues for access
Document Date – 5/12/09

- Specific issues for preservation
- Appraisal
  - What is worth keeping?
  - For how long?
  - Why?
  - At what cost?
- Legal Issues - Privacy – Personally Identifiable Information

Assigned Readings
- Stephens, Chapter 4

July 2, Session 10: Document Imaging and Contracting
- Managing Scanning Projects
- Document scanning systems
- Specific records management and archival issues
  - Specific technical issues
  - Specific issues for management
  - Specific issues and approaches for scheduling
  - Specific issues and approaches for appraisal
  - Specific issues for access
  - Specific issues for preservation
- Legal issues for electronic records – Authenticity of records
- Contracting for Records Management Services for Electronic Records

Assigned Readings
- Stephens, Chapters 6 and 7

July 7, Session 11: Establishing a Program for the Management of Electronic Records
- The role of standards in records and archives
- The role of compliance in records management and archives
- Vital records considerations
- Basic philosophies for records management and archives
- Program components
- Records management capability modeling
- Staffing the program
- Risk management

July 9, Session 12: The Future of Electronic Records
- Sample Research Projects
  - National Archives and Records Administration - Records Management Initiative
  - National Archives and Records Administration - ERA
  - Australia – VERS Project
  - InterPARES
• Major research issues in electronic records
• Use of metadata for description
• Metadata issues
• Taxonomies
• Problems and opportunities implicit in the management and use of electronic records and their long-term impact on records managers and archivists
• System requirements for managing electronic records long-term
• Overall strategies for accessioning electronic records
  o Differences from accessioning paper records
  o Should/when should electronic records be accessioned
• Ways of accessioning electronic records
  o Dealing with volume
  o Documenting the transfer
  o Components of the accession
  o Types of documentation
  o Accessioning strategies and problems
• Preservation – authentic records or secondary use.
  o Solutions / options for preservation
  o Strategies - emulation, migration, and encapsulation
• Preservation issues for electronic records
  o Hardware / software incompatibility
  o Preservation of software
  o Structure vs. ease of use
  o Missing data
• The preservation facility
• Procedures for preserving electronic records

Assigned Readings
• ISO Standard, Sections 6, 10, and 11
• Stephens, Chapter 2
• Workbook for Archivists, Chapter 3

Electronic Records: Accessioning & Preservation
Assigned Readings
• Stephens, Chapter 14
• Workbook for Archivists, Chapter 5

Enterprise Architecture, Business Models, and Standards.
Assigned Readings
• Stephens, Chapters 10 and 13