Course Syllabus

SYLLABUS – LBSC 682

Management of Electronic Records & Information

Fall Semester 2014

Tuesdays, 6:00-8:30pm, Hornbake 0115

September 2, 2014 – December 9, 2014

Instructor: Robert K. (Bob) Spangler

Contact
Cell: 301-991-8050

E-mail: rkspang@umd.edu

Email or text messages preferred.

Contact by email:

- Every attempt will be made to respond to your emails within 24 hours (excluding weekends).

- I really don't mind text messages at all!

Office Hours: By appointment. Depending on class time and location, 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.

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COURSE OVERVIEW

As the information-centric 21st century continues, electronic records are being thrust into prominence as never before. Records management professionals who deal with such records will have to handle more than just a variant of textual or other paper records; the very nature of electronic records means that they must also be appreciated intrinsically as the complex technical objects that they are.

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 presented in a straightforward and accessible way and through the guiding principles of related records management and archival topics. It will enable students to understand and be conversant in the ways in which electronic records function both as technical and knowledge-enabling entities.

Topics include:

- Deciding how electronic records should be organized

- Deciding which electronic records to archive

- Understanding technical standards considerations

- Development of taxonomies and metadata strategies

- Specific electronic record considerations for email, social media, and cloud computing

- International standards and frameworks

- Long-term digital preservation issues

- Storage and related hardware considerations

- Why electronic records are the key building blocks for Information Governance and Big Data

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CLASS STRUCTURE

A class outline will be provided through Canvas prior to the class. Most classes will consist of three parts:

- A presentation by the instructor on the week's topics

- General discussion by the entire class

Schedule of Classes

1	Sept 2	Syllabus, Introduction, General Discussion
2	Sept 9	The Basics of Electronic Records Management: Definitions and Principles Implementing E-Records Management: Inventories, Taxonomies, Retention Schedules
3	Sept 16	Electronic Records Management Standards
4	Sept 23	All About Metadata
5	Sept 30	**Wrap up of sessions 1-4** **Quiz #1 Review** additional discussion - metadata and selected topics Survey of E-records Management Systems
6	Oct 7	The Cloud and Cloud Management of E-records
7	Oct 14	Types of E-records Management Systems: 5015.2, SharePoint, EVault, others Initial Discussion of Group Projects
8	Oct 21	Web Records, Social Media, and other Internet-oriented Topics
9	Oct 28	Structured Data, and other Big Data Topics
10	Nov 4	Email, SharePoint and other Communication-based E-Records
11	Nov 11	**Quiz #2 Review** Further Discussion of Group Presentations
12	Nov 18	Hands-on software discussions & demos Hardware, Software, and Other Gory Details from the Real World
13	Nov 25	Digital Curation, Preservation and Related Archival Issues
14	Dec 2	Search, eDiscovery and Related Legal Issues
15	Dec 9	**Group Presentations**

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TEXTBOOK AND READINGS

Principal reading is from the following source. **Purchase of this e-book is entirely optional.**

Managing Electronic Records: Methods, Best Practices, and Technologies

Robert F. Smallwood, Robert F. Williams (Foreword by)
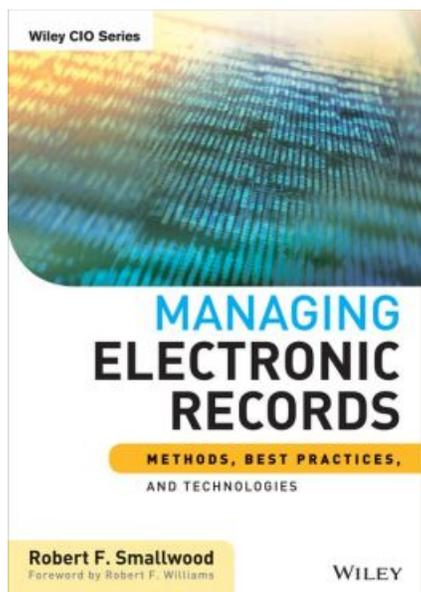
ISBN: 978-1-118-21829-7

442 pages
April 2013

http://www.wiley.com/WileyCDA/WileyTitle/productCd-1118218299.html

This is an excellent, very recently published, survey of the e-records management field.

Purchase of a hardcopy version is <u>not</u> recommended, due to the irony of such a purchase in an e-records class!

Electronic versions are available here:

http://www.wiley.com/WileyCDA/WileyTitle/productCd-1118282388.html (Adobe Digital Editions software)

http://www.barnesandnoble.com/w/managing-electronic-records-robert-f-smallwood/1111761629?ean=9781118282380 (Nook format)

http://www.amazon.com/Managing-Electronic-Records-Technologies-ebook/dp/B00C79TXJQ/ref=tmm_kin_title_0?ie=UTF8&qid=1378136663&sr=1-2 (Kindle format)

Additional materials will be assigned for each class (mostly links to Web materials).

Another important resource is the Electronic Records Toolkit from the National Archives and Records Administration (NARA). Best free guide to electronic recordkeeping. Not a text per se, but has a tremendous amount of good, free material: http://www.archives.gov/records-mgmt/toolkit/

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Graded Assignments

Description	% of Grade	Date
Quiz #1 (Multiple Choice and Brief Answers)	20	Sept 30
Quiz #2 (Multiple Choice and Brief Answers)	20	Nov 18
Group Assignment You will be given a case study, either of the group's own choosing, or one assigned by the instructor, which will describe a situation or problem that you as a person or team knowledgeable in electronic records management must address or solve. You will define your answer and present your solutions to the class in an approximately 15 minute presentation.	30	Dec 9

Online Final (Brief Essays)	30	TBD

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SCHEDULE OF CLASSES AND READINGS

> ### Class 2: The Basics of Electronic Records Management: Definitions and Principles; Implementing E-Records Management: Inventories, Taxonomies, Retention Schedules

Readings

Text: Smallwood, Chapter 1; Chapters 5, 6, 7

NOTE:

Chapter 5 sections: The Generally Accepted Recordkeeping Principles ®; E– Records Inventory Challenges; Records Inventory Purposes; Records Inventorying Steps

Chapter 6 sections: Importance of Navigation and Classification; When Is a New Taxonomy Needed?; Taxonomies Improve Search Results; Records Grouping Rationale; Business Classification Scheme, File Plans, and Taxonomy; Classification and Taxonomy; Metadata and Taxonomy

Chapter 7 sections: What Is a Records Retention Schedule?; Benefits of a Retention Schedule; General Principles of Retention Scheduling; Developing a Records Retention Schedule; Why Are Retention Schedules Needed? What Records Do You Have to Schedule? Inventory and Classification; Rationale for Records Groupings; Records Series Identification and Classification

- Check Canvas for additional documents and links.

Online Resources

- NARA Publications at http://www.archives.gov/records-mgmt/toolkit/
- Preliminary Planning for Electronic Recordkeeping: Checklist for IT Staff: http://www.archives.gov/records-mgmt/policy/prod3rev.html
- Preliminary Planning for Electronic Recordkeeping: Checklist for RM Staff http://www.archives.gov/records-mgmt/policy/prod4rev.html
- Typical Records Management Functions: http://www.archives.gov/records-mgmt/policy/prod6a.html
- Examples of System Functions for Electronic Recordkeeping (ERK) and Electronic Records Management (ERM) http://www.archives.gov/records-mgmt/policy/prod6b.html
- Government of Alberta, Records and Information Management, www.im.gov.ab.ca/index.cfm?page=imtopics/Records.html.
- Maryland State Archives, "Retention Schedule Preparation," June 1, 2012, www.msa.md.gov/msa/intromsa/html/record_mgmt/retention_schedule.html.

> ### Class 3: Electronic Records Management standards

Readings

Text: Smallwood, Chapter 15

- Other articles to be provided through links.

Online Resources

- Object Management Group Records Management Group http://www.omg.org/spec/RMS/1.0/
- MoReq, 2009, http://moreq2.eu/other–specifications
- International Council on Archives, "ICA–Req: Principles and Functional Requirements for Records in Electronic Office Environments: Guidelines and Training Material," November 29, 2011, www.ica.org/11696/activities–and–projects/icareq–principles–and–functional–requirements–for–records–in–electronic–office–environments–guidelines–and–training–material.html
- ISO 22310:2006, "Information and Documentation—Guidelines for Standards Drafters for Stating Records Management Requirements in Standards," www.iso.org/iso/iso_catalogue/catalogue_tc/catalogue_detail.htm?csnumber=40899
- International Organization for Standardization, "ISO 23081–2:2009 Information and Documentation—Managing Metadata for Records—Part 2: Conceptual and Implementation Issues," www.iso.org/iso/iso_catalogue/catalogue_tc/catalogue_detail.htm?

Class 4: All About Metadata

Readings

Text: Smallwood, Chapter 16

- Other articles to be provided through links.

Online Resources

Class 5: Basics of E-Records Management systems

Readings

Text: Smallwood, Chapter 4

- Other articles to be provided through links.

Online Resources

Class 6: The Cloud and Cloud Management of E-Records

Readings

Text: Smallwood, Chapter 12

- Other articles to be provided through links.

Online Resources

Class 7: Types of E-Records Management systems: 5015.2, SharePoint, and Others; Initial Discussion of Group Presentations

Readings

Text: Smallwood, Chapter 14

- Other articles to be provided through links.

Online Resources

- NARA study of RMA Implementations at: http://www.archives.gov/records-mgmt/resources/recordkeeping-tech-2008.pdf

- http://www.aiim.org/What-is-ECM-Enterprise-Content-Management.aspx# is an ECM overview

- Department of Defense Standard 5015.2: http://www.dtic.mil/whs/directives/corres/pdf/50152std_061902/p50152s.pdf

Class 8: Email, SharePoint and other Communication-based E-Records

Readings

Text: Smallwood, Chapter 11

- Other articles to be provided through links.

Online Resources

- GAO Testimony: Agencies Face Challenges in Managing E-Mail (April 23, 2008)

- GAO Report: National Archives and Selected Agencies Need to Strengthen E-Mail Management: http://www.gao.gov/new.items/d08742.pdf(pp. 1-5 required although the entire document is worth skimming)

- Other articles to be provided through links.

Class 9: Structured Data, and other Big Data Records

Readings

Text: TBD

- Other articles to be provided through links.

Online Resources

- Federal Enterprise Architecture Records Management Profile. Also at http://www.archives.gov/records-mgmt/policy/rm-profile.html

- See Wikipedia for:

  - http://en.wikipedia.org/wiki/Relational_databases

  - http://en.wikipedia.org/wiki/Object_oriented_database

- EPA – Frequent Questions about Electronic Information Systems and Records http://www.epa.gov/records/faqs/eis.htm

- General Records Schedule (GRS) -20. NARA Web site under policy and guidance and records schedules http://www.archives.gov/records_management/ardor/grs_index

Class 10: Web records, Social Media and other Internet-oriented Records

Readings

Text: Smallwood, Chapter 13

- Other articles to be provided through links.

Online Resources

- From Wikipedia: http://en.wikipedia.org/wiki/Web_2.0

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

- Web 2.0 http://www.archives.gov/records-mgmt/initiatives/web-tech.html

- Instant Messaging: http://www.archives.gov/records-mgmt/initiatives/im-faq.html

- http://www.archives.gov/records-mgmt/faqs/cloud.html

Class 11: Archivematica discussion and demo; Quiz #2 Review; Further Discussion of Group Presentations

Readings

Text: None

- Other articles to be provided through links.

Online Resources

- https://www.archivematica.org/wiki/Main_Page

Class 12: Hardware, Software, and Other Gory Details from the Real World

Readings

Text: Smallwood, Chapter 18

- Other articles to be provided through links.

Online Resources

Class 13: Digital Curation, Preservation and Related Archival Issues

Readings

Text: Smallwood, Chapter 17

- Other articles to be provided through links.

Online Resources

Class 14: Search, e-Discovery and Related Legal Issues

Readings

Text: TBD

- Other articles to be provided through links.

Class 15: Group Presentations

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Grades

A letter grade for each assignment, and for the course, will be assigned in accordance with University and iSchool guidelines:

A=Excellent (90-100)

B=Satisfactory (80-89)

C=Barely Adequate (70-79)

D/F=Failure (<70)

Plus and minus grades will be awarded as appropriate.

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Requirements for Written Work

Excellent written communication skills are essential to the provision of information in professional contexts. Written work will therefore be graded on the quality of writing as well as on its content and evidence of critical analysis. The mark for work that is not well written, clearly organized, and grammatically correct will be reduced accordingly.

The following formatting guidelines apply to all written work:

- Double space, in Times New Roman 12 point type, with 1 inch margins all around.

- A title page should include the title of the paper, your name, the course and semester/year, and the University of Maryland honor pledge and student signature. The title page does not count toward the page count.

- Include a list of sources consulted. The list does not count toward the page count.

- Use endnotes rather than footnotes. Place any endnotes and bibliography at the end of the paper. Pages with endnotes/bibliography do not count toward the minimum page count for the assignment.

- Cite sources in conformity with the most recent edition of Turabian, using either notes bibliography style or in-text citations–reference list style. See examples at http://www.press.uchicago.edu/books/turabian/turabian_citationguide.html

- For hard copy submissions please number the pages, and staple them together. Please do not submit your assignments in a binder or folder.

- Limit headers or footers to page numbers only. Please do not include headers or footers that include your name or the title of the assignment.

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Extensions

Timeliness and the ability to manage one's time are extremely important in graduate work (and in life), and extensions beyond an assignment's due date will be granted only if the instructor is satisfied that you have a legitimate reason for being late. Late submissions of written assignments will carry a penalty unless prior arrangements are made with the instructor. If an extension is granted, the work must be submitted within the extension period to avoid grade penalties.

Unexcused delays in submission of the assignment will result in a reduction of the grade by one category for each day the paper is late; e.g., a paper that would have received a B+ if submitted on time will receive a B if it is submitted a day late, a B- if it is two days late, and so on.

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Academic Integrity

The University of Maryland, College Park, has a nationally recognized Code of Academic Integrity, administered by the Student Honor Council. This Code sets standards for academic integrity at Maryland for all undergraduate and graduate students. As a student, you are responsible for upholding these standards for this course. The Code of Academic Integrity strictly prohibits students from cheating on exams, plagiarizing, submitting the same paper for credit in two courses without authorization, buying papers, submitting fraudulent documents, and forging signatures. It is very important for you to be aware of the consequences of academic dishonesty.

Instances of any suspected academic dishonesty will be reported and handled according to University policy and procedures. For more information, visit http://www.shc.umd.edu.

Plagiarism is of particular concern in the networked digital environment. Students must write their essays and assignments in their own words. Whenever students take an idea or a passage of text from another author, they must acknowledge their source both by using quotation marks where appropriate and by proper referencing using footnotes or in-text citations. For further information about proper citation of sources, consult the UMD Libraries website at

http://www.lib.umd.edu/guides/honesty.html and

http://www.lib.umd.edu/PUBSERV/citations/index.html.

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Attendance

Participation in classes is an essential part of the learning experience, and absence from a class may deprive the individual or the group of a significant exchange of information. Thus, attendance in class is expected. If you are unable to attend class for reasons of illness, religious observance, participation in University activities at the request of University authorities, or compelling absences beyond the student's control, please let the instructor know (prior to class for non-emergencies).

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Classroom Environment

The classroom environment should be professional and respectful. Punctual arrival at classes contributes to the smooth operation of the class and the quality of the learning experience. Late arrivals, early departures, and wandering in and out of the classroom are disruptive and distracting. If you know you will be unavoidably detained or must leave early, please let the instructor know in advance.

Please turn off or mute all phones and other communication devices during each class session. If you use your laptop in the classroom, limit the usage of the computer to course-related reasons (i.e., taking notes).

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Cancellation of Class or Changes to Classes or Assignments

- For information concerning University closings due to a weather emergency see the campus website or call 301-405-7669.
- If I need to cancel or change class hours I will post an announcement to Canvas with an email copy to all students.
- If I need to reschedule exams or class assignments I will post an announcement to Canvas with an email copy to all students.

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Accommodations for Students with Disabilities

Students with disabilities who require academic accommodations must inform the instructor of their needs and provide written documentation about the appropriate academic accommodations from Disability Support Services (http://www.counseling.umd.edu/DSS) at the beginning of the semester.

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Other Relevant Student Policies

I will abide by all relevant university student policies. Four that are particularly relevant are:

- Arbitrary and Capricious Grading for Undergraduate and Graduate students
- Classroom Climate
- Human Relations Code
- Sexual Harassment

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