



**THE CATHOLIC UNIVERSITY OF AMERICA
SCHOOL OF LIBRARY AND INFORMATION SCIENCE**

**LSC 877 Special Topics in Library and Information Science:
Electronic Records Management
Spring 2012**

**3 Credit Hours
Thursday, 4:10 pm – 6:40 pm
McCort Ward 209**

Instructor and Contact Information	Office Hours
Name: Dr. Jane Zhang Office: Marist 242 Office phone: (202) 319-5824 E-mail: zhangj@cua.edu	Wednesdays, 2:00 pm – 4:00 pm or by appointment

Course Description

This course introduces students to the principles and methods of managing records as operational, legal, and historical evidence in electronic environments. Topics include definitions of records and records management, organizational and individual recordkeeping behaviors, recordkeeping requirements and systems, electronic records classification and retention, electronic records management applications, strategies and tools for managing structured, unstructured, and Web-based information as records, and archival management of electronic records.

Instructional Methods

The course uses a variety of instructional methods and activities including lectures, readings, class discussions, assignments, case studies, system evaluations, and guest speakers.

Required Text

Stephens, David O. (2007). *Records Management: Making the Transition from Paper to Electronic Records*. Lenexa, KS: ARMA International, 2007. (ISBN 1-931786-29-1)

National Archives of Australia. (2001). *Designing and Implementing Recordkeeping Systems (DIRKS) Manual*. <http://www.naa.gov.au/records-management/publications/dirks-manual.aspx>

Required Technologies

The following capabilities are required for course delivery:

- Familiarity with digital information/electronic record creation and management environments and technologies
- Interest in exploring the application of electronic records management software and tools

The following technologies are taught as an essential part of this course:

- Introduction to personal and business information systems, electronic document management systems, and electronic records management systems
- Review and evaluation of software and tools designed to support electronic records management functionalities based on the international and national standards and requirements

Libraries

The CUA Libraries' wide range of resources and services, including databases, online journals, and FAQs are on the main web site. For assistance on papers and assignments, consult the research guides or schedule an appointment with a subject librarian.

Course Goals

This course is designed to

- Introduce principles, practices, standards, and systems for electronic records management
- Discuss organizational, behavioral, cultural, legal, technical challenges for electronic recordkeeping and records management
- Identify the importance and challenges of systematic organization and disposition of electronic records
- Provide hands-on experiences with developing records classification/retention plans and selecting electronic records management tools

Goals for Student Learning

At the end of the course students will be able to

- Articulate what records are in paper and electronic environments
- Observe and analyze why people and organizations create and keep records
- Familiarize with requirements and standards for electronic recordkeeping
- Demonstrate expertise in conducting functional analysis of records
- Create small-scale records classification and retention plans
- Develop skills to evaluate and recommend electronic records management solutions based on records management principles and best practices

Course Requirements

Detailed description and instruction will be posted on the course site.

- Attendance & class participation (10%)
- Weekly ERM news discussion (10%)
- ERM program case study report (25%)
- Record classification & retention assignment (20%)
- Professional activity report (10%)
- ERM research paper and presentation (25%)

Expectations and Policies

Academic honesty: Academic honesty is expected of all CUA students. Faculty are required to initiate the imposition of sanctions when they find violations of academic honesty, such as plagiarism, improper use of a student's own work, cheating, and fabrication.

The following sanctions are presented in the University procedures related to Student Academic Dishonesty (from <http://policies.cua.edu/academicundergrad/integrityprocedures.cfm>): "The presumed sanction for undergraduate students for academic dishonesty will be failure for the course. There may be circumstances, however, where, perhaps because of an undergraduate student's past record, a more serious sanction, such as suspension or expulsion, would be appropriate. In the context of graduate studies, the expectations for academic honesty are greater, and therefore the presumed sanction for dishonesty is likely to be more severe, e.g., expulsion. ...In the more unusual case, mitigating circumstances may exist that would warrant a lesser sanction than the presumed sanction."

Please review the complete texts of the University policy and procedures regarding Student Academic Dishonesty, including requirements for appeals, at <http://policies.cua.edu/academicundergrad/integrity.cfm> and <http://policies.cua.edu/academicundergrad/integrity.cfm>.

Accommodations for students with disabilities: Any student who feels s/he may need an accommodation based on the impact of a disability should contact the instructor privately to discuss specific needs. Please contact Disability Support Services (at 202 319-5211, room 207 Pryzbyla Center) to coordinate reasonable accommodations for students with documented disabilities. To read about the services and policies, please visit the website: <http://disabilitysupport.cua.edu>.

Campus Resources for student support:

CUA Center for Academic Success

<http://success.cua.edu/services/index.cfm>

Pryzbyla Center, Suite 204

Phone: (202) 319-5655

CUA Counseling Center

<http://counseling.cua.edu/services/>

127 O'Boyle Hall

Phone: (202) 319-5765

Mullen Library

<http://libraries.cua.edu/welcome.html>

Phone: (202) 319-5070

Final Grading Scale:

A = 94-100

A- = 90-93

B+ = 87-89

B = 84-86

B- = 80-83

C = 70-79

F = Below 70

University Grades:

The University grading system is available at <http://policies.cua.edu/academicundergrad//gradesfull.cfm#II> for undergraduates and <http://policies.cua.edu/academicgrad//gradesfull.cfm#iii> for graduate students. Reports of grades in courses are available at the end of each term on <http://cardinalstation.cua.edu>.

Syllabus Changes

The instructor reserves the right to make changes to this syllabus as needed.

Course Schedule

The course schedule is subject to change depending on class needs. Additional/alternative readings may be provided.

Date	Topic	Readings and Assignments
Class 1 (1/12)	Course Introduction	Course Syllabus, Assignments
Class 2 (1/19)	Records, Recordkeeping, and Records Management Programs	Stephens: Chapters 1- 2 Introduction: Status and Trends Building Successful Programs DIRKS Manual: Part 1 The DIRKS Methodology: A Users Guide Duranti, Luciana. "Concepts and Principles for the Management of Electronic Records, or Records Management Theory is Archival Diplomats." <i>Records Management Journal</i> 20/1 (2010): 78-95 McKemmish, Sue. "Yesterday, Today and Tomorrow: A Continuum of Responsibility." <i>Proceedings of the Records Management Association of Australia 14th National Convention, 15-17 Sept 1997, RMAA Perth 1997</i>
Class 3 (1/26)	Recordkeeping Requirements	Stephens: Chapter 6 Business Recordkeeping and the Law DIRKS Manual: Step C Identification of Recordkeeping Requirements

		<p>ARMA International, “Generally Accepted Recordkeeping Principles (GARP)”</p> <p>Hans Hoffman, “The Use of Standards and Models.” Chapter 2, Julie McLeod and Catherine E. Hare eds., <i>Managing Electronic Records</i>, 2006</p> <p>International Organization for Standards, <i>ISO 15489-1:2001 Information and documentation – Records management – Part 1: General</i></p> <p>36 CFR 1236.20: Electronic Records Management http://www.archives.gov/about/regulations/part-1236.html</p>
Class 4 (2/2)	Recordkeeping Systems	<p>DIRKS Manual: Steps D, F, G Assessment of Existing Systems Design of a Recordkeeping System Implementation of a Recordkeeping System</p> <p>Bearman, David. "Record-Keeping Systems." <i>Archivaria</i> 36 (1993): 16-36</p> <p>Cunningham, Adrian. “Good Digital Records Don’t Just ‘Happen’: Embedding Digital Recordkeeping as an Organic Component of Business Processes and Systems.” <i>Archivaria</i> 71 (Spring 2011): 21-34</p> <p>Yates, JoAnne. "Innovation in Storage and Retrieval: Vertical Filing." In <i>Control through Communication: the Rise of System in American management</i>. (Baltimore: Johns Hopkins University Press, 1989): 56-63</p>
Class 5 (2/9)	Recordkeeping Behaviors	<p>DIRKS Manual: Step A Preliminary investigation</p> <p>Arslan, Sumeyye and Ayise Karadag. “The Determination of Recordkeeping Behavior of Nurses Regarding Intravenous Fluid Treatment: the Case of Turkey.” <i>Journal of Infusion Nursing</i> 31/5 (Sept/Oct 2008): 287-294</p> <p>Khoo, Christopher et al. “How Users Organize Electronic Files on their Workstations in the Office Environment: a Preliminary Study of Personal Information Organization Behaviour.” <i>Information Research</i> 11/2, Paper 293 (January 2007)</p> <p>Lips, Miriam and Anita Rapson. "Exploring Public Recordkeeping</p>

		<p>Behaviors in Wiki-Supported Public Consultation Activities in the New Zealand Public Sector." 2010 43rd Hawaii International Conference on System Sciences: 1-10</p> <p>Malone, Thomas. "How Do People Organize Their Desks? Implications for the Design of Office Information Systems." <i>ACM Transactions on Office Information Systems</i> 1/1 (January 1983): 99-112</p>
Class 6 (2/16)	Records Organization and Access	<p>Stephens: Chapter 9, Chapter 11 Improving Recordkeeping System Performance Information Access, Privacy, and Security</p> <p>DIRKS Manual: Step B Analysis of Business Activity</p> <p>Bailey, Steve, and Jay Vidyarthi. "Human-Computer Interaction: the Missing Piece of the Records Management Puzzle?" <i>Records Management Journal</i> 20/3 (2010): 279-290</p> <p>Bruno, Denise and Heather Richmond. "The Truth about Taxonomies." <i>Information Management Journal</i> 37/2 (March/April 2003): 44-53</p> <p>Serewicz, Lawrence W. "Do We Need Bigger Buckets or Better Search Engines? The Challenge of Unlimited Storage and Semantic Web Search for Records Management," <i>Records Management Journal</i> 20/2 (2010): 172-181</p> <p>van Houten, Gerry. "Drafting a Function-based File Classification Plan." <i>Information Management Journal</i> 44/4 (Jul/Aug 2010): 31-35</p>
Class 7 (2/23)	Records Retention and Disposition	<p>ERM Program Case Study Report due Tuesday February 21st</p> <p>Stephens: Chapters 3, 4, and 7 Records Retention: Managing the Information Life Cycle Electronic Records Retention: Managing the Data Life Cycle Records Retention and the Law</p> <p>Cisco, Susan. "How to Win the Compliance Battle Using 'Big Buckets.'" <i>Information Management Journal</i> 42/4 (Jul/Aug 2008): 30-38</p> <p>Cogar, Rae N. "Legal 101 for RIM Professionals." <i>Information Management Journal</i> 39/6 (Nov/Dec 2005): 49-56</p>

		<p>Fischer, Laurie. "Condition Critical: Developing Records Retention Schedules." <i>Information Management Journal</i> 40/1 (Jan/Feb 2006): 26-34</p> <p>Knight, Janet. "Disposal in a digital environment: Workshop at the RIMPA Convention SIG for State Government." September 11, 2011 http://futureproof.records.nsw.gov.au/wp-content/uploads/2011/10/Disposal-in-a-digital-environment-FINAL.pdf</p>
Class 8 (3/1)	Software Solutions: ECM, EDMS & ERMS	<p>Stephens: Chapter 12 Software Solutions for Electronic RIM</p> <p>Emery, Priscilla. "Beyond Features & Functions: Evaluating RM Software Alternatives in a Real-World Environment." <i>Information Management Journal</i> 41/1 (January/February 2007): 28-34</p> <p>Gable, Julie and Baron Gemmer. "The Importance of Architecture in ERM Software Selection." <i>Information Management Journal</i> 42/2 (January/February 2008): 28-34</p> <p>Johnston, Gary P. and David V. Bowen. "The Benefits of Electronic Records Management Systems: a General Review of Published and Some Unpublished Cases." <i>Records Management Journal</i> 15/3 (2005): 131-140</p> <p>Lappin, James. "What will be the Next Records Management Orthodoxy?" <i>Records Management Journal</i> 20/3 (2010): 252-264.</p>
(3/8)	NO CLASS (Spring Recess)	
Class 9 (3/15)	Unstructured Information as Records	<p>Records Classification & Retention Assignment due Tuesday March 13th</p> <p>Stephens: Chapter 8 Managing the Message</p> <p>Bergman, Ofer et al. "The User-subjective Approach to Personal Information Management Systems Design: Evidence and implementations." <i>Journal of the American Society for Information Science & Technology</i> 59/2 (January 2008): 235-246</p> <p>NARA Bulletin 2012-02: Guidance on Managing Content on Shared Drives, December 06, 2011</p>

		<p>http://www.archives.gov/records-mgmt/bulletins/2012/2012-02.html</p> <p>NSW Recordkeeping in Brief 57 - Managing Shared Drives http://www.records.nsw.gov.au/recordkeeping/government-recordkeeping-manual/guidance/recordkeeping-in-brief/rib-57-managing-shared-drives</p> <p>The Sedona Conference® Commentary on Email Management: Guidelines for the Selection of Retention Policy. <i>The Sedona Conference Journal</i> 8 (Fall 2007)</p> <p>Willemin, Georges. "The International Committee of the Red Cross (ICRC) Official E-mail System: An Example of Records Management," <i>Records Management Journal</i> 16/2 (2006): 82-90</p>
<p>Class 10 (3/22)</p>	<p>Structured Data as Records</p>	<p>International Council on Archives. <i>Principles and Functional Requirements for Records in Electronic Office Environments, Module 3: Guidelines and Functional Requirements for Records in Business Systems</i>. 2008.</p> <p>Bantin, Philip C. "Transaction Processing Systems as Recordkeeping Systems," in <i>Understanding Data and Information Systems for Recordkeeping</i>, 103-126. New York: Neal-Schuman Publishers, c2008</p> <p>Gingrich, Laurie L, and Brian D Morris. "Retention and Disposition of Structured Data: The Next Frontier for Records Managers." <i>Information Management Journal</i>: 40/2 (Mar/Apr 2006): 30-39</p> <p>Hamilton, Kelly. "Structured Data Elements: Are they Records?" <i>Information Management Journal</i> 45/2 (March/April 2011): 27-30</p> <p>McDonald, John. "Records Management and Data Management: Closing the Gap." <i>Records Management Journal</i> 20/1 (2010): 53-60</p>
<p>Class 11 (3/29)</p>	<p>Website Records</p>	<p>Professional Activity Report due Tuesday March 27th</p> <p>ARMA International. <i>Website Records Management: An ARMA International Guideline</i>, 2009</p> <p>Barry, Rick. "Web Sites as Recordkeeping & 'Recordmaking' Systems." <i>Information Management Journal</i> 38/6 (Nov/Dec 2004) : 26-32</p>

		<p>NARA Guidance on Managing Web Records. January 2005. http://www.archives.gov/records-mgmt/policy/managing-web-records-index.html</p> <p>Ohio Electronic Records Committee. “Guidelines for Managing Web Site Content.” http://ohsweb.ohiohistory.org/ohioerc/images/d/d9/WWWguidelines.pdf</p> <p>Reed, Barbara. “Service-oriented Architectures and Recordkeeping.” <i>Records Management Journal</i> 20/1 (2010): 124-137</p>
(4/5)	NO CLASS (Easter Recess)	
Class 12 (4/12)	Managing the Crowd & the Cloud	<p>ARMA International. <i>Implications of Web-Based, Collaborative Technologies in Records Management</i>, 2011</p> <p>Barnes, Frederick R. “Putting a lock on Cloud-Based Information.” <i>Information Management Journal</i> 44/4 (Jul/Aug 2010): 26 – 30</p> <p>NARA Bulletin 2011-02, Guidance on Managing Records in Web 2.0/Social Media Platforms http://www.archives.gov/records-mgmt/bulletins/2011/2011-02.html</p> <p>NSW State Records. “Records Management and Web 2.0.” http://www.records.nsw.gov.au/documents/recordkeeping-guidelines/Guideline%2024.pdf</p> <p>Stuate, Katharine, and David Bromage. “Current State of Play: Records Management and the Cloud.” <i>Records Management Journal</i> 20/2 (2010): 217-225</p>
Class 13 (4/19)	Electronic Records Archives and Digital Preservation	<p>Stephens: Chapter 14 Digital Records Preservation</p> <p>InterPARES2 CREATOR GUIDELINES: Making and Maintaining Digital Materials: Guidelines for Individuals http://www.interpares.org/display_file.cfm?doc=ip2(pub)creator_guidelines_booklet.pdf</p> <p>InterPARES2 PRESERVER GUIDELINES Preserving Digital Records: Guidelines for Organizations.</p>

		<p>http://www.interpares.org/display_file.cfm?doc=ip2(pub)preserver_guidelines_booklet.pdf</p> <p>"Re-engineering Processes to Meet the Electronic Records Challenge" in <i>Building an Electronic Records Archive at the National Archives and Records Administration: Recommendations for a Long-Term Strategy</i>, Robert F. Sproull and Jon Eisenberg. Eds. Washington DC: National Academic Press, 2005</p>
<p>Class 14 (4/26)</p>	<p>Research Project Presentation</p>	<p>ERM Research Paper and Presentation Due</p>