

SIMMONS COLLEGE
GRADUATE SCHOOL OF LIBRARY AND INFORMATION SCIENCE

LIS 456: Managing Records in Electronic Environments

Fall 2008

Course LIS 456

Time Thursday, 6:00 pm – 9:00 pm

Location PCB P308

Instructor Jane Zhang

Office Hours by appointment

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COURSE PURPOSE

- To understand the scope, principles, and practices of recordkeeping and records management.
- To acquire a framework for the development and evaluation of records management programs in a variety of settings.
- To become familiar with the profession of records management, and to understand its relationship to archives, library, and information center practices.

STUDENT LEARNING OUTCOMES

- Demonstrate the ability to apply standards relevant to specific information services activities.
- Analyze, synthesize, and communicate information and knowledge in a variety of formats.
- Recognize existing and potential problems in a workplace and devise strategies to resolve them.
- Assess, create, and evaluate systems for managing records and information.
- Apply relevant research studies to tasks requiring problem solving and critical thinking.
- Analyze information problems and develop solutions, drawing from a wide range of information technology tools and practices.

ACCOMMODATIONS

If you have a disability and require accommodations, please contact the instructor early in the semester so that your learning needs may be appropriately met. You will need to provide documentation of your disability to the Disability Services (DS) office, third floor of the Palace Road Building, Suite P304, (617) 521-2474.

You also have the Academic Support Center, <http://my.simmons.edu/services/asc>, as a resource, which has writing tutors, and will help students with learning challenges.

HONOR CODE

You are required to adhere to the Simmons College honor code. The honor code is available at <http://my.simmons.edu/gslis/resources/student-info/honor-code.shtml>.

ASSIGNMENTS

This course includes five assignments in addition to the required reading for scheduled classes.

1. Case Studies Review

Due September 22, 6:00pm. Turn in electronic copy.

2. Literature Review

Due October 16, start of class. Turn in paper and electronic copy.

3. Executive Summary, Memo, and Records Schedule

Due November 6, start of class. Turn in paper and electronic copy.

4. Presentation

Visual Component: Due November 20, start of class. Turn in paper copy.

Verbal Component: Due November 20 or December 4.

5. Records Manager Interview

Due December 4, start of class. Turn in paper and electronic copy.

LATE ASSIGNMENTS

Unless previous arrangements have been made with the instructor, late assignments will be penalized by one grade. Late submissions for Assignment 5 will not be accepted.

GRADES

Case Studies Review	5%
Literature Review	20%
Executive Summary Memo Records Schedule	25%
Presentation	20%
Records Manager Interview	20%
Class Participation	10%

COURSE OUTLINE

W World Wide Web

E Electronic Reserves <<http://library.simmons.edu/search/r?SEARCH=LIS+456>>

R Paper Reserves

L Library Electronic Database (Full Text)

1. September 4

Topic Course Introduction

Readings Course information (Syllabus, Case Studies, Assignments, Tips [Sources, Literature Review, Business Writing])

2. September 11

Topic Defining Records and Records Management

Guests Chris Bednar, Bain Company, and President, ARMA Boston; Michelle Becker, InfoCurrent

Readings

W Browse ARMA International website <http://www.arma.org>

W Browse ARMA Boston Chapter website <http://www.armaboston.org>

W Browse AIIM website <http://www.aiim.org>

W ARMA International, "Code of Professional Responsibility." Available at <http://www.arma.org/about/overview/ethics.cfm>

R William Saffady, *Records and Information Management: Fundamentals of Professional Practice*, 2004, Chapter 1 "Introduction"

W Sue McKemmish, "Yesterday, Today and Tomorrow: A Continuum of Responsibility," Proceedings of the Records Management Association of Australia 14th National Convention, September 15-17, 1997, RMAA Perth 1997. Available at <http://www.sims.monash.edu.au/research/rcrg/publications/recordscontinuum/smckp2.html>

W Chris Hurley, "What, if Anything, is Records Management," Paper presented at the Records Management Association of Australasia Conference held in Canberra, 12-15 (September 2004). Available at

<http://www.sims.monash.edu.au/research/rcrg/publications/ch-what.pdf>

3. September 18

Topic Knowledge Management & Recordkeeping Behavior

Readings

R David Bearman, "Diplomatics, Weberian Bureaucracy, and the Management of Electronic Records in Europe and America," *American Archivist*, Volume 55, (Winter 1992) 168-181

R Elizabeth Yakel, "The Way Things Work: Procedures, Processes, and Institutional Records," *American Archivist*, Volume 59, Number 4 (Fall 1996), 454-464

W SRA International, "Report on Current Recordkeeping Practices within the Federal Government," for the National Archives and Records Administration, 2001. Available at

<http://www.archives.gov/records-mgmt/faqs/pdf/report-on-recordkeeping-practices.pdf>

(executive summary and situational factors only)

L Clive Thompson, "Open-Source Spying," *New York Times Magazine*, December 3, 2006

R Abigail J. Sellen and Richard H. R. Harper, *The Myth of the Paperless Office*, 2002, Chapter 3 "Paper in Knowledge Work"

R Alton Y.K. Chua, Selcan Kaynak, and Schubert S.B. Foo, "An Analysis of the Delayed Response to Hurricane Katrina Through the Lens of Knowledge Management," *Journal of the American Society for Information Science and Technology* (Volume 58 Number 3) February 2007, 391-403

4. September 25

Topic Records Retention Schedules

Assignments Case Studies Review due September 22 in electronic form

Readings

L Rae N. Cogar, "Legal 101 for RIM," *Information Management Journal*, Volume 39, Number 6 (November/December 2005), 49-56

L Laurie L. Gingrich and Brian D Morris, "Retention and Disposition of Structured Data: The Next Frontier for Records Managers," *Information Management Journal*, Volume 40, Number 2, (March/April 2006), 30-39

L Laurie Fischer, "Condition Critical: Developing Records Retention Schedules," *Information Management Journal*, Volume Number 1, (January/February 2006), 26-34

R William Saffady, *Records and Information Management: Fundamentals of Professional Practice*, 2004, Chapters 2 & 3

5. October 2

Topic Records Retention Exercise

Guests Eliot Wilczek, Tufts University

Readings

W Michael Roper and Andrew Griffin, *Building Records Appraisal Systems*, International Records Management Trust, 1999. Available at:

http://www.irmt.org/Images/documents/educ_training/public_sector_rec/IRMT_build_rec_appraisal.pdf

W Tufts, Community policing. Available at: <http://publicsafety.tufts.edu/police/?pid=6>

6. October 9

Topic Recordkeeping Requirements

Readings

R David Bearman, "Recordkeeping Systems," *Archivaria*, Volume 36, (Autumn 1993), 16-36

R Hans Hoffman, "The use of Standards and Models," Chapter 2, Julie McLeod and Catherine E. Hare eds., *Managing Electronic Records*, 2006

R Kenneth Thibodeau, "Archival Science and Archival Engineering: Building a New Future for the Past," *Archival Outlook*, May/June 2006

R International Organization for Standards, *ISO 15489-1:2001 Information and documentation -- Records management -- Part 1: General*

W RLG-OCLC, *Trusted Digital Repositories: Attributes and Responsibilities*, 2002
<http://www.oclc.org/programs/ourwork/past/trustedrep/repositories.pdf>

W OCLC, CRL, NARA, *Trustworthy Repositories Audit & Certification: Criteria and Certification*, Version 1.0, February 2007 <http://www.crl.edu/PDF/trac.pdf>

W Department of Defense, *DoD 5015.02-STD Electronic Records Management Software Applications Design Criteria Standard*, Version 3, April 25, 2007
<http://www.dtic.mil/whs/directives/corres/pdf/501502std.pdf>

W Consultative Committee for Space Data Systems, *Reference Model for an Open Archival Information System (OAIS) CCSDS 650.0-B-1 Blue Book*, January 2002
<http://public.ccsds.org/publications/archive/650x0b1.pdf>

W The Sedona Conference, *The Sedona Guidelines for Managing Information and Records in the Electronic Age*, September 2005 Version
http://www.thesedonaconference.org/content/miscFiles/TSG9_05.pdf

7. October 16

Topic Recordkeeping Systems

Assignments Literature Review Paper

Readings

L Denise Bruno and Heather Richmond, "The Truth About Taxonomies," *Information Management Journal*, Volume 37, Number 2, (March/April 2003), 44-53

W State of Michigan, "Final Report: Records Management Application Pilot Project," 2002. Available

at http://www.michigan.gov/documents/HAL_MHC_RM_Final_Report_63480_7.pdf.

For background see http://www.michigan.gov/hal/0,1607,7-160-17445_19273_21738-74194--,00.html

R Abigail J. Sellen and Richard H. R. Harper, *The Myth of the Paperless Office* 2002, 163-183

L Priscilla Emery, "Evaluating RM Software Alternatives in a Real-World Environment" *Information Management Journal* January/February 2007

<http://www.arma.org/pdf/journal/emery.pdf>

8. October 23

Topic Maintaining, Preserving, and Delivering Paper Records

Site Visit Iron Mountain

Readings

L Virginia A. Jones, "Protecting Records - What the Standards Tell Us," *Information Management Journal* (Volume 37 Number 2) March/April 2003, 70-75

E Chapter 6, "Maintaining Records and Assuring Their Integrity" in Elizabeth Shepherd and Geoffrey Yeo, *Managing Records: A Handbook of Principles and Practice*, 2003

W International Records Management Trust and International Council on Archives, *Preserving Records*, 1999

http://www.irmt.org/Images/documents/educ_training/public_sector_rec/IRMT_preserve_recs.pdf

W Website: Iron Mountain website, <http://www.ironmountain.com/index.asp>

9. October 30

Topic Maintaining, Preserving, and Delivering Electronic Records

Readings

W Seamus Ross and Andrew McHugh, "The Role of Evidence in Establishing Trust in Repositories," *D-Lib* (Volume 12, Number 7/8) July/August 2006

<http://www.dlib.org/dlib/july06/ross/07ross.html>

W Reagan Moore, "Building Preservation Environments with Data Grid Technology," *American Archivist* (Volume 69, Number 1) Spring/Summer 2006

W InterPARES 2 Project, *Preserving Digital Records: Guidelines for Organizations*, 2007

[http://www.interpares.org/ip2/display_file.cfm?doc=ip2\(pub\)preserver_guidelines_booklet.pdf](http://www.interpares.org/ip2/display_file.cfm?doc=ip2(pub)preserver_guidelines_booklet.pdf)

W Theresa A Pardo, Sharon S. Dawes, and Anthony M. Cresswell, *Opening Gateways: A Practical Guide for Designing Electronic Records Access Programs*, Center for Technology in Government, 2002

<http://www.ctg.albany.edu/publications/guides/gateways/gateways.pdf>

W Carl Lagoze, Dean B. Krafft, Sandy Payette, Susan Jesuroga, "What is a Digital Library Anymore, Anyway?: Beyond Search and Access in the NSDL," *D-Lib Magazine* (Volume 11, Number 11) November 2005

<http://www.dlib.org/dlib/november05/lagoze/11lagoze.html>

10. November 6

Topic Practitioner Panel Discussion

Assignments Executive Summary, Memo, and Records Schedule

Guests Jill Snyder, NARA; Elizabeth Copenhagen, Harvard Business School; George Pino, Eaton Vance Management

11. November 13

Topic Evaluation of Recordkeeping: DIRKS

Assignments Lead discussion of assigned DIRKS chapters

Readings

Course page Kathryn Hammond Baker, "Case Study: Department of Family Services"

W The DIRKS Manual: A Strategic Approach to Managing Business Information, September 2001, Revised July 2003.

<http://web.archive.org/web/20060916124329/www.naa.gov.au/recordkeeping/dirks/dirksman/pdf/contents.html> or

<http://web.archive.org/web/20060916124236/www.naa.gov.au/recordkeeping/dirks/dirksman/contents.html>

12. November 20

Topic Program Planning and Evaluation and Student Presentations

Assignments Visual component of Presentation, Presentations

Readings

W Records Management Self-Evaluation Guide. Available at

<http://www.archives.gov/records-mgmt/publications/records-management-self-evaluation->

[guide.html](#)

W Agency recordkeeping requirements. Available at <http://www.archives.gov/records-mgmt/publications/agency-recordkeeping-requirements.html>

W Records Management at the Central Intelligence Agency. Available at <http://fas.org/sgp/othergov/naracia.html>

W Robert L Sanders, "RIM self-evaluation: The case for truth and realism," *Records Management Quarterly*, Jul 1997. Available at:

http://findarticles.com/p/articles/mi_qa3691/is_199707/ai_n8775854/pg_1

13. December 4

Topic Student Presentations & Course Wrap-up

Assignments Presentations, Records Manager Interview