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SI 655

# Management of Electronic Records

Week 01

January 12, 2009

Introduction, Course Logistics, Key Concepts

# Introductions

Name

Semester of study

Specialization

Interest in course

ER/Digital work experience

# Course Overview & Logistics

- Assumptions
  - Most Records are Electronic
  - Records are Essential Evidence for Accountability
  - Legal and Social Demands for Accountability are Increasing
  - Managing Electronic Records Requires Special Knowledge and Skills
  - Electronic Records Have Multiple Values/Purposes

# Course Objectives 1...

- Familiarity with the role of electronic records in accountability and sensitivity to what can go wrong if recordkeeping systems are inadequate or fail.
- Knowledge of the legal, administrative, and financial issues related to electronic records and recordkeeping.
- Awareness of standards and best practices for creation, retention, authenticity, security, and accessibility of electronic records.

## Course Objectives 2...

- Familiarity with systems, technologies, and tools that support electronic records management, and knowledge of criteria to evaluate their effectiveness.
- An understanding of the institutional variables (e.g., corporate culture, business activities, and information technology environment) that affect the implementation of recordkeeping and accountability requirements.
- Skills in evaluating information systems for compliance with recordkeeping and accountability requirements.

# Expectations

- Complete all required readings
- Active informed participation in class discussions
- Heightened sensitivity to records and accountability issues
- An inquiring mind



# Assignments

- Short Essay - 5 pages
  - Due: Week 3: February 2 (15%)
- Midterm Exam (Take Home) - 8-10 pages
  - Available Week 6: March 2 and due Week 7: March 9 (20%)
- Problem Solving Exercise 5-7 pages
  - Available Week 8: March 16 and due Week 11: April 6 (15%)
- Course Project - 15 pages
  - Due Week 13: April 20 (30%)
- Active Participation in Class Sessions (20%)

# Course Themes

- Recordkeeping Requirements
- Trust
- Evidence
- Promoting Accountability:
  - Standards and Best Practices
  - Tools and Technology
  - Compliance and Audit
  - Social Demand & Incentives
- Contradictions:
  - FOIA, Privacy, Secrecy
- Records and Accountability Environments
  - Government Accountability
  - International Organizations and Human Rights
  - Corporate Accountability
  - Health Care

# Key Concepts

- What is an electronic record?
- The difference between recordkeeping systems and information systems.
- Why do electronic records present special challenges?
- Issues, problems and principles of electronic records management

# Electronic Record

Bantin:

Recorded information in any form created or received and maintained by an organization, person or system in the transaction of business or the conduct of affairs and kept in a widely accessible form as evidence of such activity.

## Why is this concept difficult?

- recorded information in any form?
- created or received and maintained by an organization, person or system
- in the transaction of business or the conduct of affairs
- and kept in a widely accessible form as evidence of such activity.

# What does this definition exclude

- Not Recorded
  - Face-to-face communications
  - Telephone communications
- Not maintained
  - by an organization, person or system
- Not created or received in
  - The transaction of business or
  - the conduct of affairs
- Not kept in a widely accessible form
  - as evidence of such activity

## By this definition....

- What records do you create and maintain in the transaction of business/conduct of affairs and keep in a widely accessible form?
- What records do organizations or systems record and maintain in the transaction of business/conduct of affairs and keep about you in a widely accessible form?
- What electronic communications do you participate in that do not reflect the transaction of business/conduct of affairs"?

# Records Creation/ Recordkeeping Context

- Decentralized
- Under individual control

VS

- Centralized
- Under organizational control
- [Managed, Controlled Access]



# Information Systems and Recordkeeping Systems

- Information Systems
  - No attention to the concept of a record (or)
  - Record as an entry in a structured system
- Recordkeeping Systems
  - Record as evidence
  - Fixity
  - Related to process, person, time (context)

# Challenges and Issues 1...

- Reliability and Authenticity
- Recordkeeping Systems
  - Capture
  - Maintenance
  - Availability
  - Preservation
  - Metadata

## Challenges and Issues 2...

- Recordkeeping Requirements
  - Authority
  - Definition
  - Implementation
- Retention and Preservation
  - What to Keep?
  - Who Decides?

# Challenges and Issues 3...

- Retention and Preservation
  - Networks and decentralization
  - How to retain records
    - Computer museums (active systems)
    - Transfer to fixed media
    - Software independence
    - Emulation
    - Migration/Conversion
  - No Single Approach Serves all Purposes

## Challenges and Issues 4...

- Custody/Responsibility
  - Centralized
  - Distributed/Shared

# Recent Developments

- Standards
  - Records Management
  - OAIS
  - Metadata
- Demand for Accountability
- Concept of Trusted Systems
- Incentives and Implementation?