Author(s) David A. Wallace and Margaret Hedstrom, 2009

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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 accessibly 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 accessibly 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?